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ABSTRACT

The purpose of the Ohio College Library Center (OCLC) computerized regional library system is to provide an on-line system that makes available to faculty and students in individual colleges and universities the library resources throughout a region, while at the same time decelerating the rate of rise of per-student library costs. The research and development culminated in the successful implementation of an on-line union catalog and shared cataloging system. The final report of the project is LI 004 422. This document contains appendices five through fourteen: (5) Brief Description of the Serials Control System. A Preliminary Report; (6) A Preliminary Description of the OCLC Serials Control System; (7) Manual for Checking-in, Binding, and Claiming of Serials on a CRT Terminal; (8) Suggested Minimum Requirements for Serials Cataloging; (9) OCLC Technical Processing. A Preliminary Outline; (10) The Technical Processing System, May 1972; (11) Recommended Standards for the Cataloging of Serials; (12) Standards for Input Cataloging; (13) The Technical Processing System, August 1972; and (14) Ohio College Library Center Annual Report, 1971/1972. (Other appendices are LI 004 423 and LI 004 425 through LI 004 428.) (Author/SJ)

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Final Report

Project No. 9-0554
Contract No. OEC-0-70-2289 (506)

June 1973

THE DEVELOPMENT OF A COMPUTERIZED REGIONAL LIBRARY SYSTEM

APPENDICES 5-14

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LI 004 424

APPENDICES

I. Instruction Manual for Catalog Production. (LI 004 423)

II. Manual for OCLC Catalog Card Production; Revised and Enlarged. Judith Hopkins. (LI 004 423)

III. Creation of Machine Readable Catalog Entries; An Adaptation of the "Data Preparation Manual: MARC Editors." (LI 004 423)

IV. Cataloging on a Cathode Ray Tube Terminal. (LI 004 423)

V. Brief Description of the Serials Control System: A Preliminary Report. (LI 004 424)

VI. A Preliminary Description of the OCLC Serials Control System. (LI 004 424)

VII. Manual for Checking-In, Binding, and Claiming of Serials on a CRT Terminal - Draft of Preliminary Procedures. (LI 004 424)

VIII. Suggested Minimum Requirements for Serials Cataloging. (LI 004 424)

IX. OCLC Technical Processing System - A Preliminary Outline. (LI 004 424)

X. The Technical Processing System, May 1972. (LI 004 424)

XI. Recommended Standards for the Cataloging of Serials. (LI 004 424)

XII. Standards for Input Cataloging. (LI 004 424)

XIII. The Technical Processing System, August 1972. (LI 004 424)

XIV. Ohio College Library Center Annual Report, 1971/1972. (LI 004 424)

XV. Large On-Line Files of Bibliographic Data: An Efficient Design and a Mathematical Predictor of Retrieval Behavior. P.L. Long, K.B.L. Rastogi, J.E. Rush and J.A. Wyckoff. (Not Available EDRS)

XVI. OCLC Systems: Technical Aspects. Phillip Long. and Ohio State University Libraries Systems. Gerry D. Guthrie. (Not Available EDRS)

XVII. Name-Title Entry Retrieval from a MARC File. Philip L. Long and Frederick G. Kilgour. (Not Available EDRS)

XVIII. A Truncated Search Key Title Index. Philip L. Long and Frederick G. Kilgour. (Not Available EDRS)

XIX. Title-Only Entries Retrieved by Use of Truncated Search Keys. Frederick G. Kilgour, Philip L. Long, Eugene B. Leiderman and Alan L. Landgraf. (Not Available EDRS)

XX. Ohio College Library Center Systems. Frederick Kilgour. (Not Available EDRS)

XXI. Evolving, Computerizing, Personalizing. Frederick Kilgour. (Not Available EDRS)

XXII. The Shared Cataloging System of the Ohio College Library Center. Frederick G. Kilgour, Philip L. Long, Alan L. Landgraf, and John W. Wyckoff. (Not Available EDRS)

XXIII. Cataloging with a Computer - OCLC Comes to Pennsylvania. Robert C. Stewart. (Not Available EDRS)

XXIV. The Ohio College Library Center Program/Subroutine Documentation; Master Data Base Update (MDBUPD). (LI 004 425)

XXV. The Ohio College Library Center Program/Subroutine Documentation; Convert Call Number (CNVT). (LI 004 426)

XXVI. The Ohio College Library Center Program/Subroutine Documentation; Generate Pack Definition Tables (GENPDTS). (LI 004 427)

XXVII. The Ohio College Library Center Program/Subroutine Documentation; Catalog Card Format Program (CCFP). (LI 004 427)

XXVIII. The Ohio College Library Center Program/Subroutine Documentation; Build Print Tape (BPT). (LI 004 428)

V

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September 1971

BRIEF DESCRIPTION OF THE SERIALS CONTROL SYSTEM: A PRELIMINARY REPORT

The major goals of the OCLC Serials Control System are: (1) the creation of a union catalog to increase availability of serial resources to Ohio college and university libraries; and (2) the reduction of costs involved in processing serials.

The central file at OCLC will contain MARC II records for serials plus the holdings of each member library. Information stored in the central file will be accessible to all members through their terminals.

It will be possible for the computer to produce any or all of the following listings for individual libraries as desired.

Complete holdings by title

New titles added within a specified period of time

Titles (with or without holdings) arranged by subject headings

Titles (with or without holdings) arranged by classification numbers

Titles (with or without holdings) arranged by forreign language

Cataloging

Serials cataloging will follow the MARC II format for serials which is designed to be compatible with the MARC II format for monographs. In addition to the bibliographic data Provided for in the MARC format, the following holdings and operational data will be basic to the generation of various products and therefore, insofar as possible, should be input with the original record. Tags will be assigned to each of the fields below.

Check-in matrix to supplement the holdings statement

Bindery information

Physical description of holdings (i.e. microforms)

Claim cycle based on the frequency and pattern of publication

Name and address of vendor if different from publisher

Renewal date and length of subscription (List price will be supplied in the MARC record when readily available; actual cost to the library will be included as part of acquisitions, to be developed under the technical Processing System.)

Check-in Procedure

The holdings statement will be kept up-to-date on a check-in matrix which will be displayed in format similar to the familiar visible file record currently used by many libraries. Matrices will be designed to accommodate varying frequencies of publication. The most suitable pattern for each title will be selected by the cataloger and affixed to the holdings statement in the serial record.

Holdings will be recorded by each physical piece primarily for use in the Circulation System.

The following steps describe the check-in procedure which is illustrated in flowchart form in Figure 1.

When an issue of a serial is received, the checker will type the title search key on the terminal, then DISPLAY/SEND and receive in reply a display of possible titles.

If the desired title is not displayed, try an author-title search, if there is any possible author.

If the desired title is not displayed as a result of either of the above approaches, send the issue to cataloging.

If the title is displayed, type in the entry number and DISPLAY/SEND. The reply may be a display of the local serial record or the master bibliographic record, indicating that the title is in the system but that no holdings have been entered for the local library.

In the latter case, send the issue to cataloging.

If the local serial record is displayed, compare the issue identification (volume, number, date, etc.) with the display on the screen.

If the issue in hand does not appear to follow the established publication pattern of the serial (i.e. if there is a discrepancy between any of the elements by which the issue is identified), send it to cataloging.

If the issue follows the established publication pattern, insert an X in the appropriate space on the check-in matrix and then depress SEND to record the information in the computer memory.

After receipt of the issue has been properly entered, transcribe the call number to the issue, stamp it with the ownership stamp and forward it to the proper holding library.

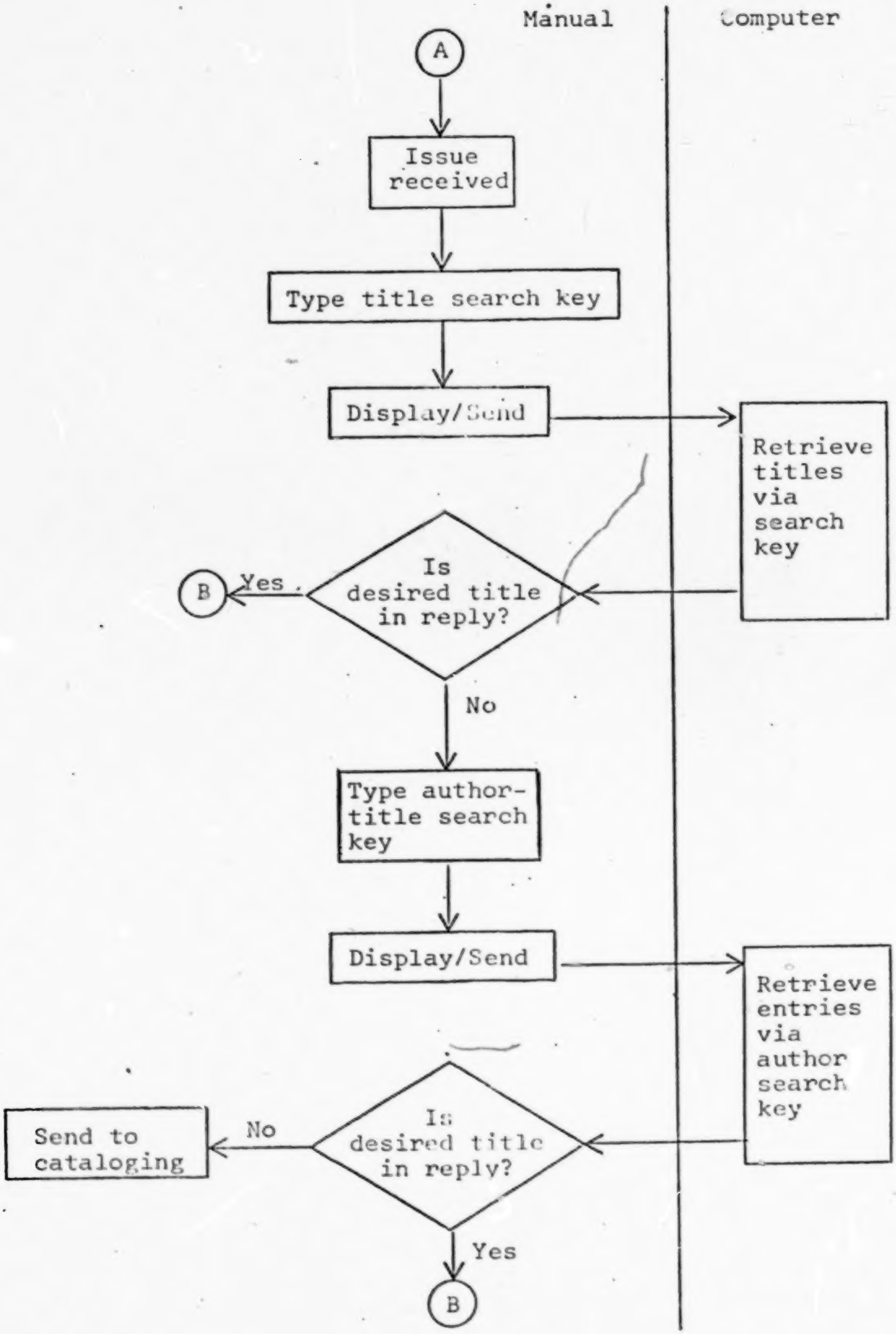
Manual
Computer
A
Issue received
Type title search key
Display/Send
Retrieve titles via search key
Is desired title in reply?
Yes
B
No
Type author-title search key
Display/Send
Retrieve entries via author search key
Is desired title in reply?
No
Send to cataloging
Yes
B

FIGURE 1 Serial Check-in Procedure

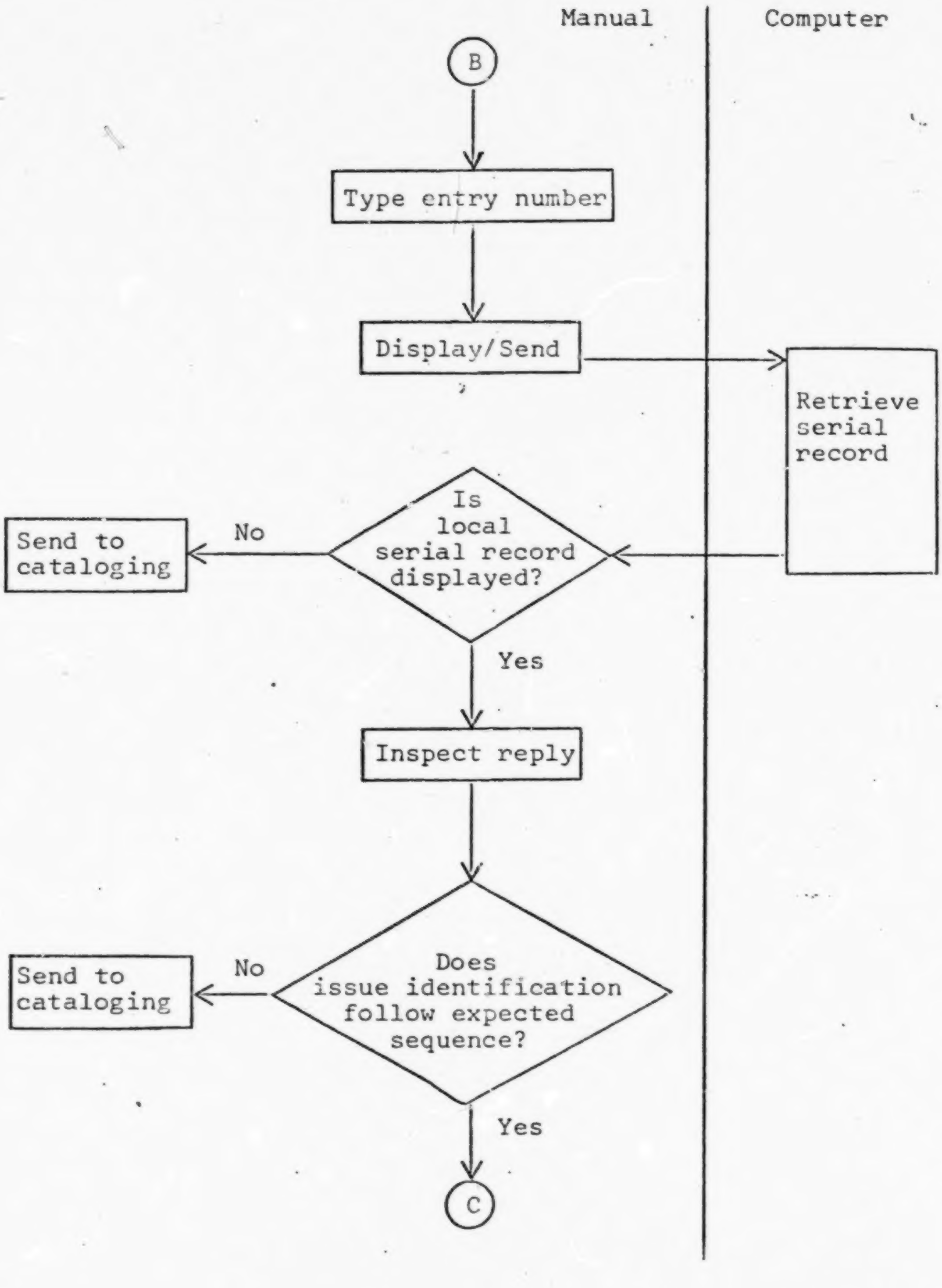
Manual
Computer
B
Type entry number
Display/Send
Retrieve serial record
Is local serial record displayed?
No
Send to cataloging
Yes
Inspect reply
Does issue identification follow expected sequence?
No
Send to cataloging
Yes
C

FIGURE 1 Serial Check-in Procedure - continued

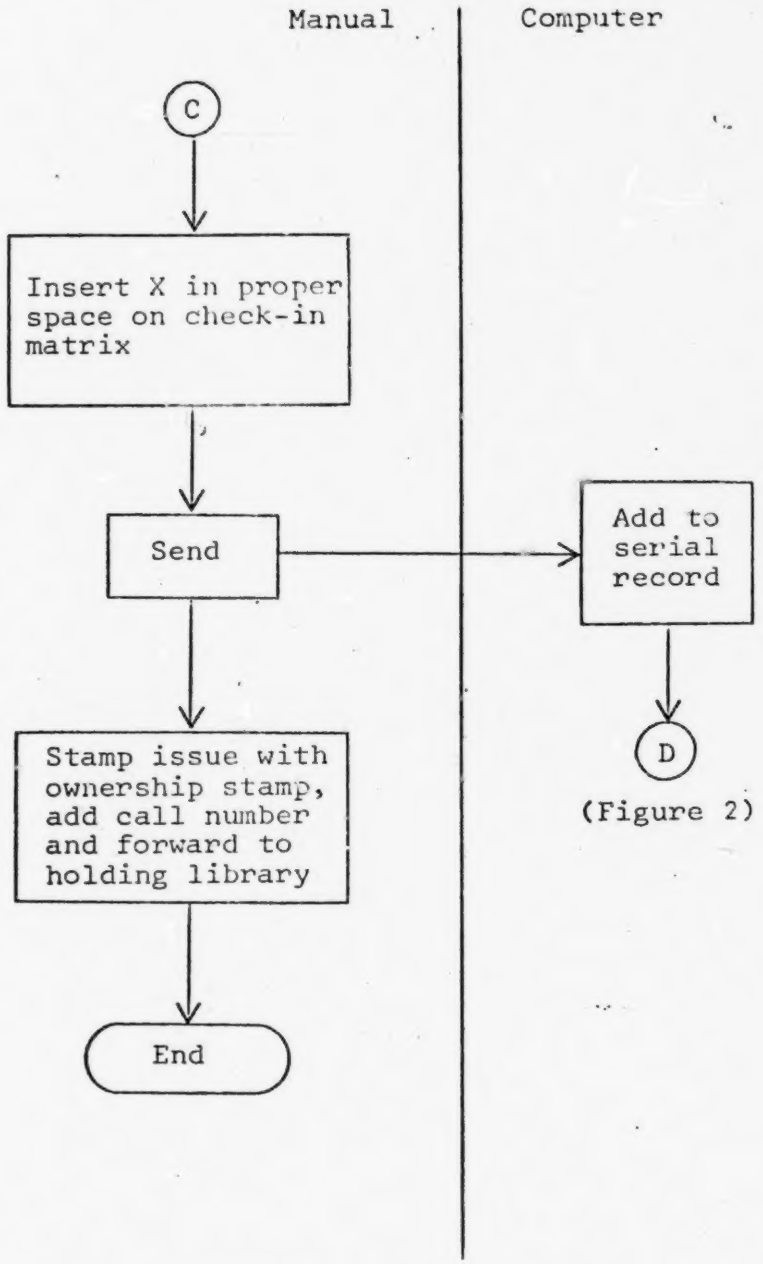
Manual
Computer
C
Insert X in proper space on check-in matrix
Send
Add to serial record
D
(Figure 2)
Stamp issue with ownership stamp, add call number and forward to holding library
End

FIGURE 1 Serial Check-in Procedure - continued

Binding

When the library has made the decision to bind an individual serial, all data relative to the binding of that title will be input into the record, field by field, in the same manner as for input cataloging. (See: Cataloging on a Cathode Ray Tube Terminal, p. 30)

Once the data has been recorded, it will be possible for the computer to automatically produce binding notification slips for each physical volume; the computer will also put out bindery lists.

Binding notification slips for all volumes of all titles ready to be sent to one bindery on a particular date will be assembled along with a list of the titles and volumes and forwarded to the individual library prior to the bindery pick-up date.

The following steps describe the bindery preparation routine which is flowcharted in figure 2.

> After each issue is checked in, the computer will scan the record for a completed volume. If all of the components (specified issues, title page, indexes, etc.) which are to be bound into one physical volume are present, the computer will produce a binding notification slip to be sent to the library concerned.

Upon receipt of the binding notification slip, prepare the volume for bindery pick-up.

When the bound volume is returned from the bindery, modify the holdings record to indicate the bound status.

Key in the entry number, then DISPLAY/SEND. The reply will be a display of the local serial record.

Insert braces before and after the issues included in the bound volume and depress SEND to record the information in the computer.

Stamp the volume with the library ownership stamp and sent to the stacks.

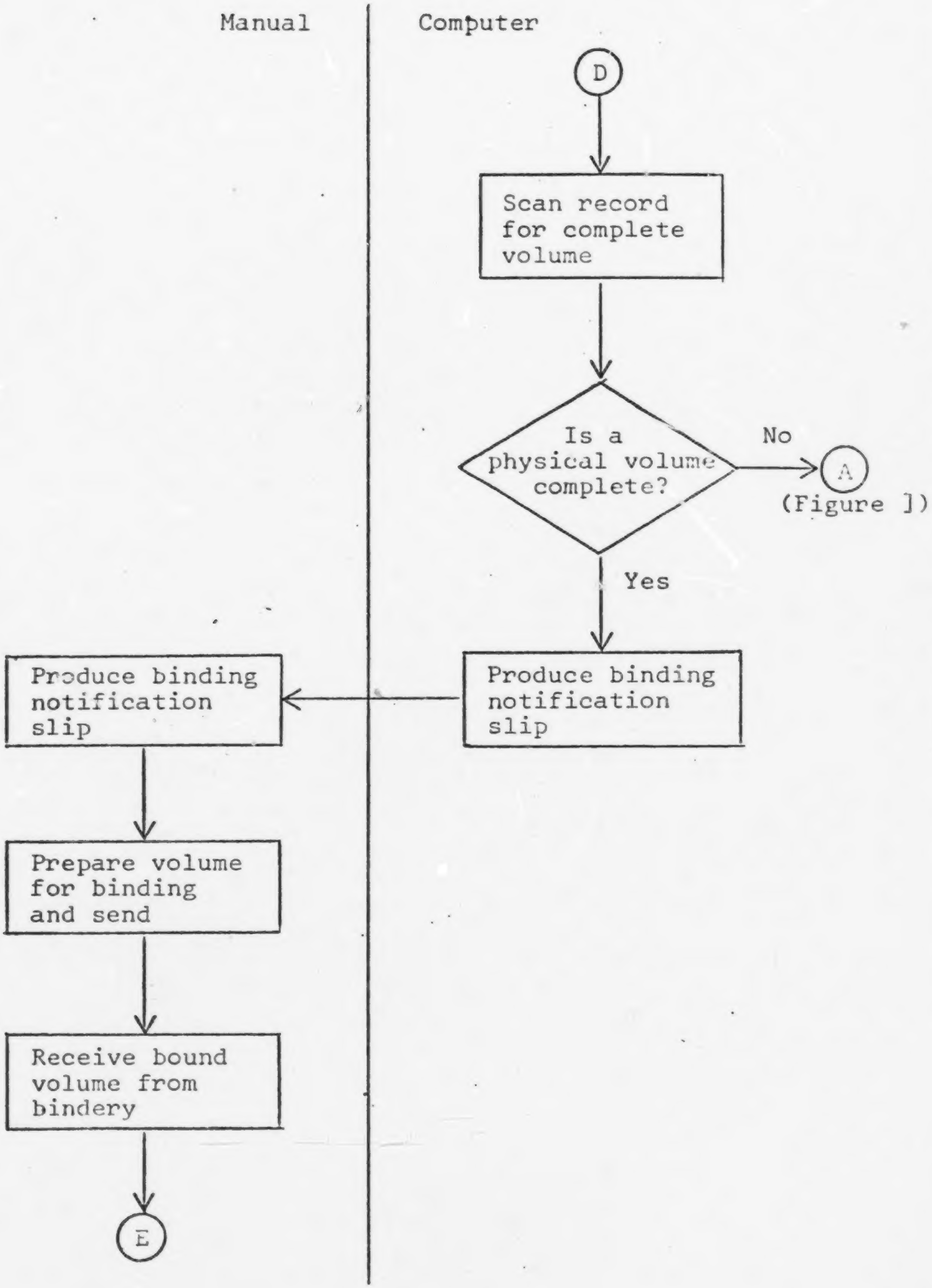
Manual
Computer
D
Scan record for complete volume
Is a physical volume complete?
No
A
(Figure 1)
Yes
Produce binding notification slip
Produce binding notification slip
Prepare volume for binding and send
Receive bound volume from bindery
E

FIGURE 2 Bindery Preparation Routine

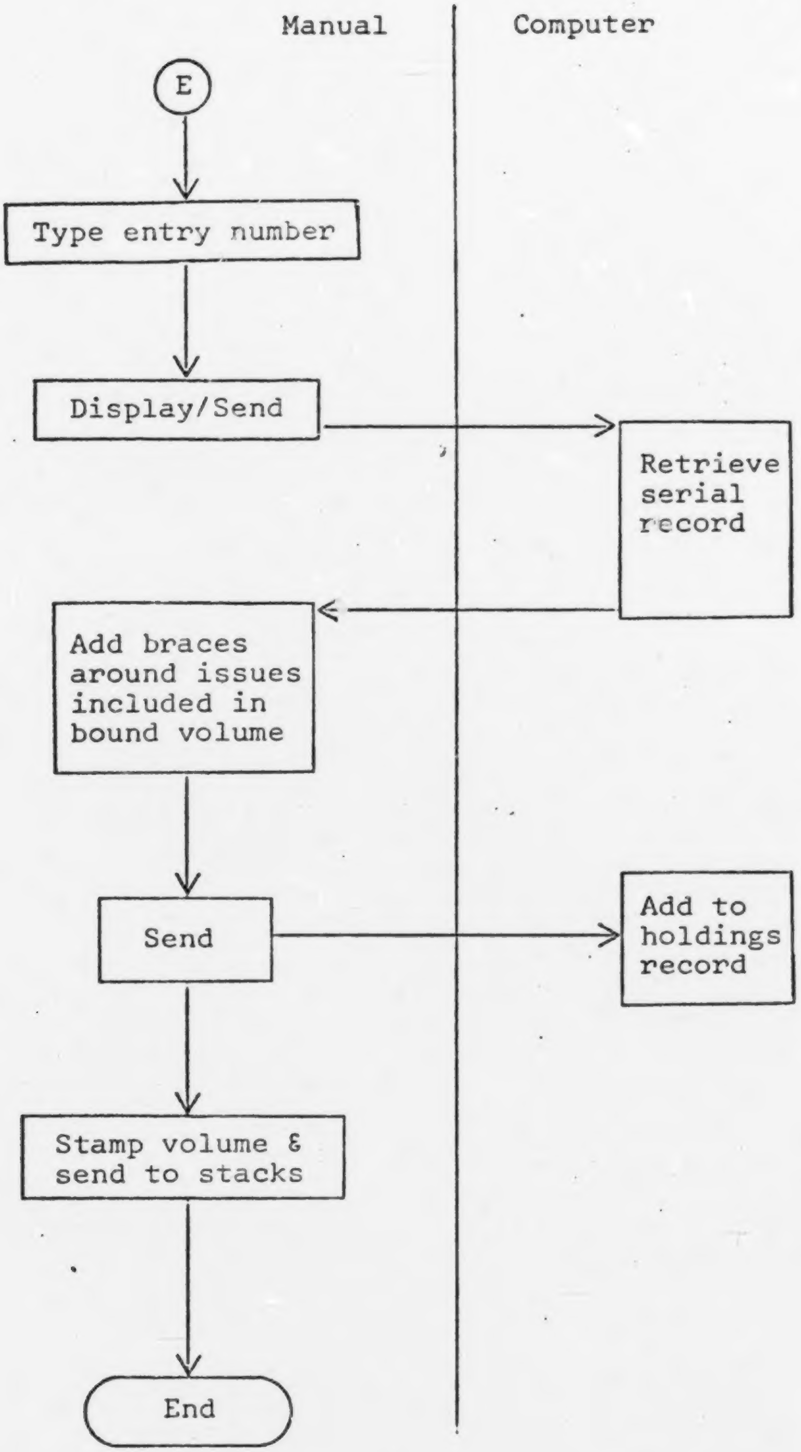
Manual
Computer
E
Type entry number
Display/Send
Retrieve serial record
Add braces around issues included in bound volume
Send
Add to holdings record
Stamp volume & send to stacks
End

FIGURE 2 Bindery Preparation Routine - continued

Microforms

A detailed statement of holdings in microform will be appended to the holdings record unless the entire holdings are in microform, in which case the form will be indicated in the bibliographic record and all holdings will be presumed to be in that form. (In this report the term microform is used to refer to any non-print form.) When only a portion of a serial is held in microform and when the current issues are received in printed form, it will be necessary to differentiate between the forms in the holdings record.

If a microform supercedes the printed form and the superceded issues are discarded, it will be possible to have the computer produce a discard notification for the superceded issues when the microform is checked in.

Claims

The system will produce claim notices automatically generated by the computer and sent directly to the publisher or vender from OCLC.

To precipitate the automatic claims, each library must establish claim cyles which will be based upon the frequency and pattern of publication and the promptness with which the issues are regularly received. All factors which might legitimately delay the receipt of an anticipated issue (such as batch mailing of some frequently published foreign serials) should be taken into consideration when establishing the claim cycle for each title.

A claim cycle will consist of (1) the interval between the anticipated receipt of an issue and the 1st claim notice, (2) the interval between the 1st and 2nd claim notices and (3) the interval between the 2nd claim notice and the notice for follow-up action to be sent to the library concerned.

Once the claim cycle is recorded for an individual serial, the computer will produce claim notices immediately following the specified intervals if no X has been entered on the check-in matrix to indicate receipt of an expected issue. (See Figure 3)

If an X is entered for an issue when an earlier issue has not yet been received, the computer will produce a claim notice for the missing issue even though the claim period has not expired.

It will be possible to negate a claim action, even though an issue has not been received, by entering a 0 (zero) in the space where the issue would ordinarily be checked in.

Claims for irregular publications or other "out-of-cycle" claims can be triggered by keying in a claim request through the terminal.

Renewals

Although renewals are part of the ordering process which will be implemented later under the Technical Processing System, it is necessary, to activate renewal lists, that the following be input with the original bibliographic record: the renewal date,the length of the subscription, and the name and address of the vendor if it is different from that of the publisher.

Renewal lists, assembled according to renewal date and vendor, can then be produced automatically and sent to the respective libraries for action.

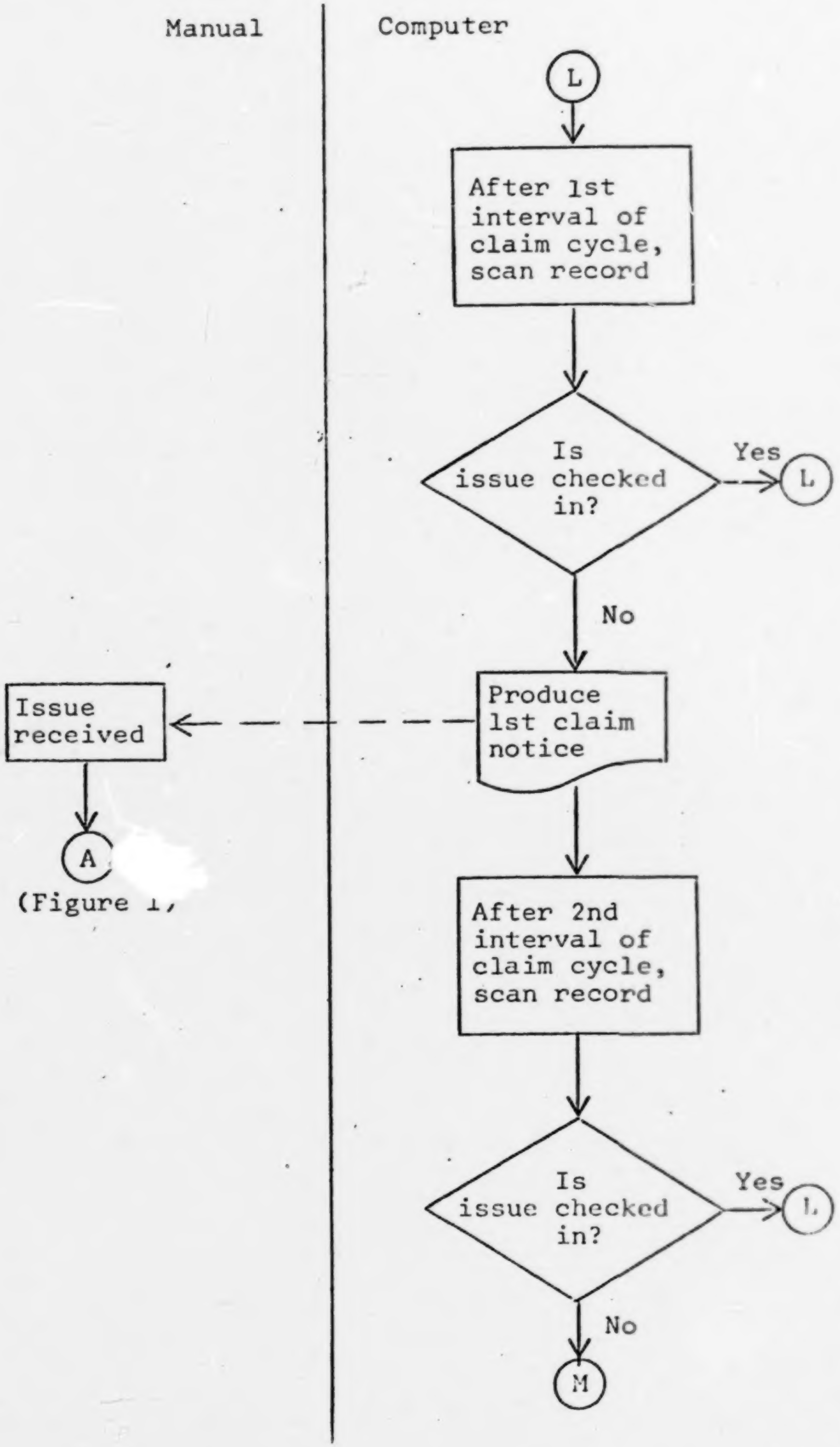
Manual
Computer
L
After 1st interval of claim cycle, scan record
Is issue checked in?
Yes
L
No
Produce 1st claim notice
Issue received
A
(Figure 1)
After 2nd interval of claim cycle, scan record
Is issue checked in?
Yes
L
No
M

FIGURE 3 Claim Procedure

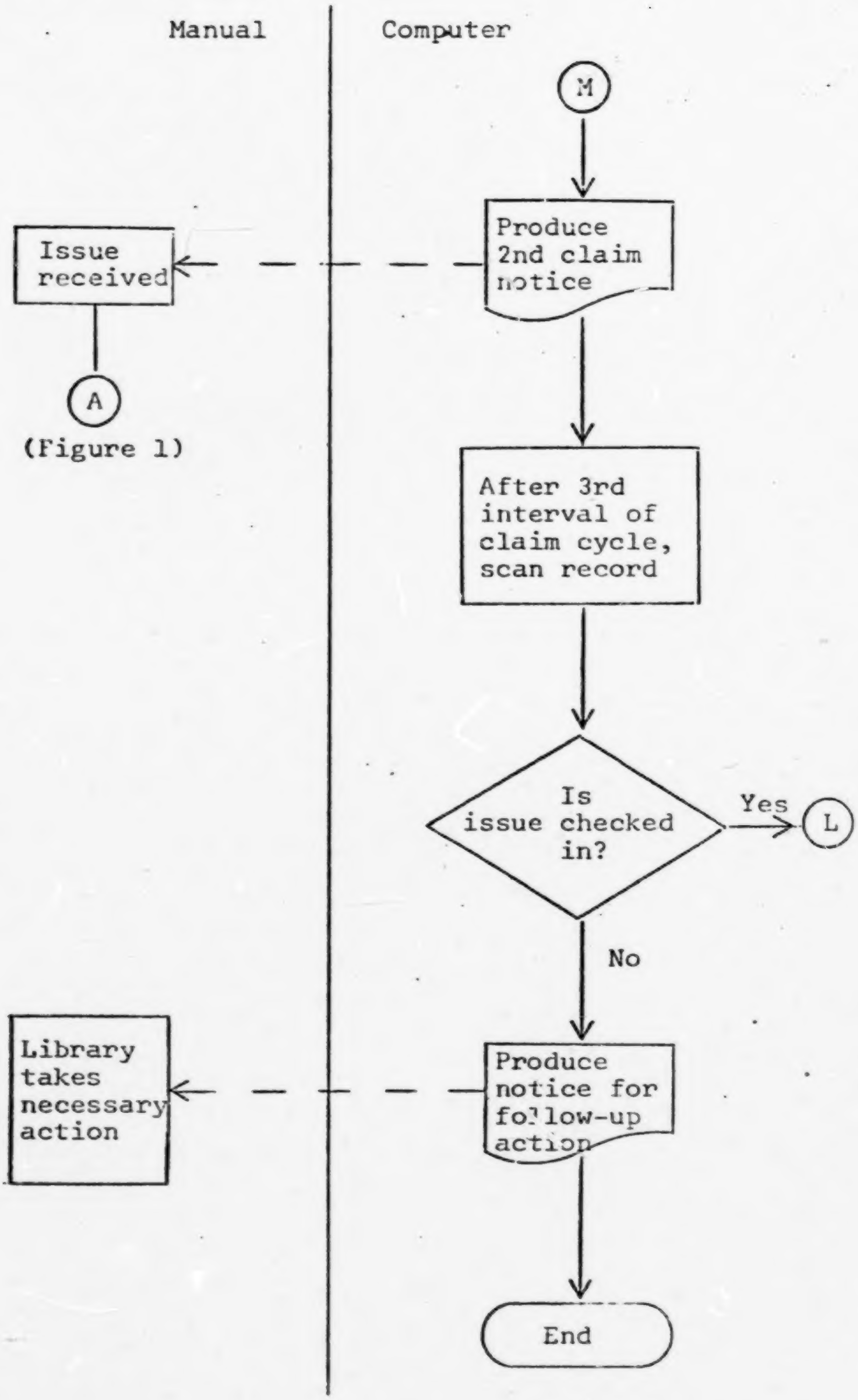
Manual
Computer
M
Produce 2nd claim notice
Issue received
A
(Figure 1)
After 3rd interval of claim cycle, scan record
Is issue checked in?
Yes
L
No
Produce notice for follow-up action
Library takes necessary action
End

FIGURE 3 Claim Procedure - continued

VI

A PRELIMINARY DESCRIPTION OF THE OCLC SERIALS CONTROL SYSTEM

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October, 1971

A PRELIMINARY DESCRIPTION OF THE
OCLC SERIALS CONTROL SYSTEM

INTRODUCTION

The major goals of the OCLC Serials Control System are: 1) the creation of a union catalog to increase availability of serial resources to students and faculties of Ohio colleges and universities; and 2) easing the burden of maintaining several records and thereby reducing costs inherent in processing serials.

The serials system now being developed will be comprehensive; however, the Technical Processing System, to be developed subsequently, will encompass those functions applied to ordering and accounting, while the cataloging of serials will be an extension of the existing Shared Cataloging System. Therefore, the primary concern at this time is with operational functions as they relate specifically to serials, such as check-in, prediction for claiming, and binding.

The central file at OCLC will contain bibliographic records supplied by OCLC Members plus MARC II serial records. Holdings for each Member library, as well as additional local data, will be recorded and stored in the central file that will be accessible to all Members through their terminals.

CHECK-IN PROCEDURE

The holdings statement for each title will be kept up-to-date on a check-in matrix that will be displayed in format similar to the familiar visible file record currently used by many libraries. Matrices will be designed to accommodate varying frequencies of publication. If the publication pattern is altered substantially, a more suitable matrix will replace the original one.

The holdings statement will be recorded so as to indicate each physical piece, primarily for use in the Circulation System.

The following steps describe the check-in procedure illustrated in flowchart form in Figure 1.

> When an issue, including title page, index, and supplement, of a serial is received, the checker will type the title search key on the terminal, then DISPLAY REC'D/SEND and receive in reply a display of the title with the local holdings or a display of possible titles.
>
> If the desired title is not displayed, try an author-title search if there is any possible author.
>
> If the desired title is not displayed as a result of either of the above approaches, send the issue to selection and acquisitions.
>
> If the title is displayed as one of several, type in the entry number and DISPLAY REC'D/SEND.

The reply will be a display of the title with the local holdings record.

If the local holdings record consists of a blank matrix only, with no previous holdings having been recorded for the title, send the issue to selection and acquisitions.

If local holdings have been recorded, compare the issue identification (volume, number, date, etc.) with the display on the screen.

If the issue in hand does not appear to follow the established publication pattern of the serial, that is if there is a discrepancy between any of the elements by which the issue is identified, send the issue to cataloging.

If the issue follows the established publication pattern, type an "x" in the appropriate space on the check-in matrix and then depress SEND to record the transaction in the computer memory.

After receipt of the issue has been properly entered, transcribe the call number from the screen to the issue, stamp the issue with the library ownership stamp and forward it to the specified holding library.

If an issue is lost after it has been checked in, an "L" can be typed over the "x" to indicate that the issue is not available. If the lost issue is later replaced, an "r" can be typed over the "ℒ". Both "x" and "r" will indicate that the issue is available in the library, but will distinguish between the issue received as part of a subscription and a replacement which may have been ordered separately.

Although issues may be checked in with an "x", the date of check-in will be recorded in the computer and can be accessed through the terminal when necessary.

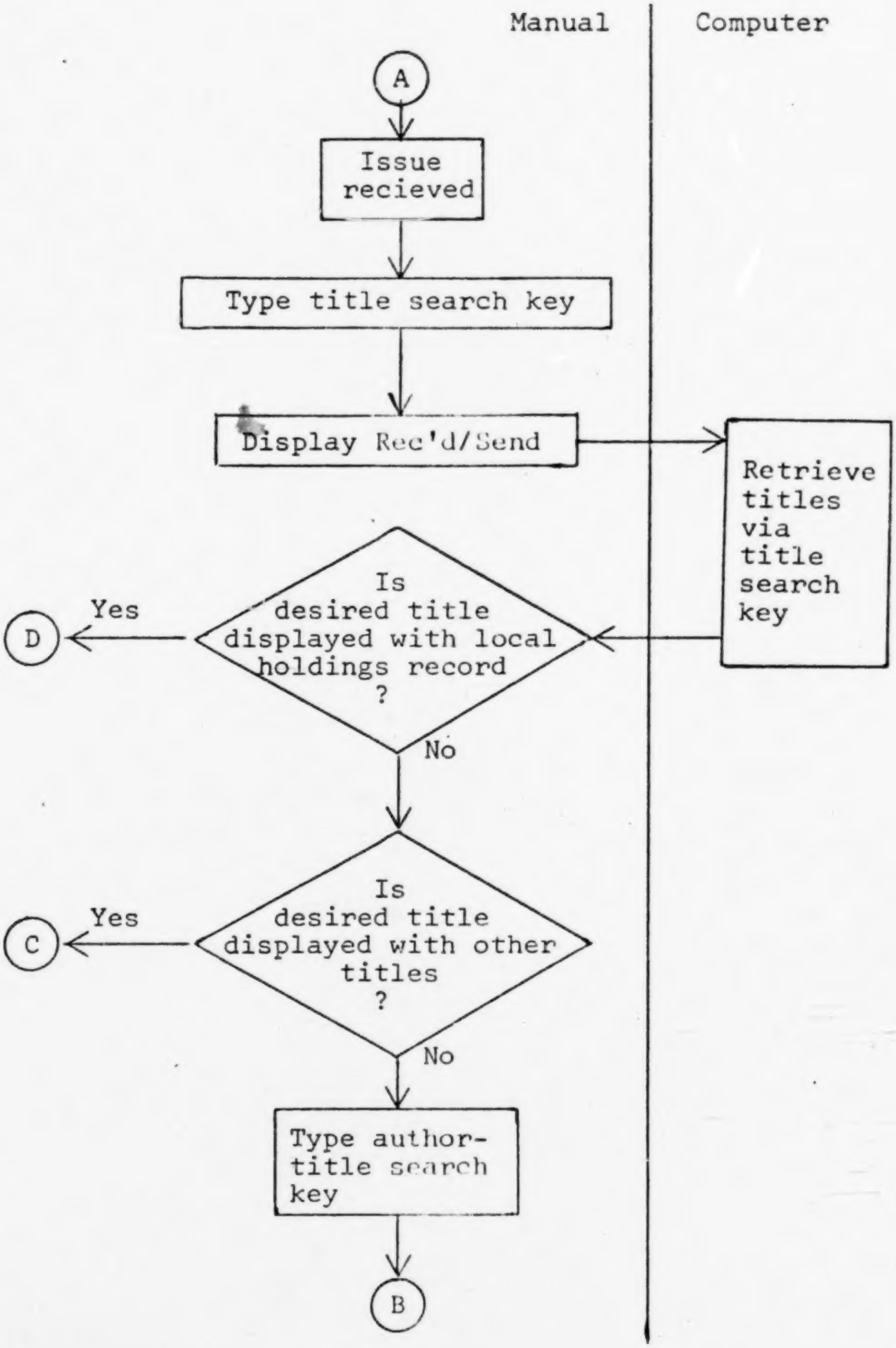

Manual
Computer
A
Issue recieved
Type title search key
Display Rec'd/Send
Retrieve titles via title search key
Is desired title displayed with local holdings record ?
Yes
D
No
Is desired title displayed with other titles ?
Yes
C
No
Type author-title search key
B

FIGURE 1 Serial Check-in Procedure

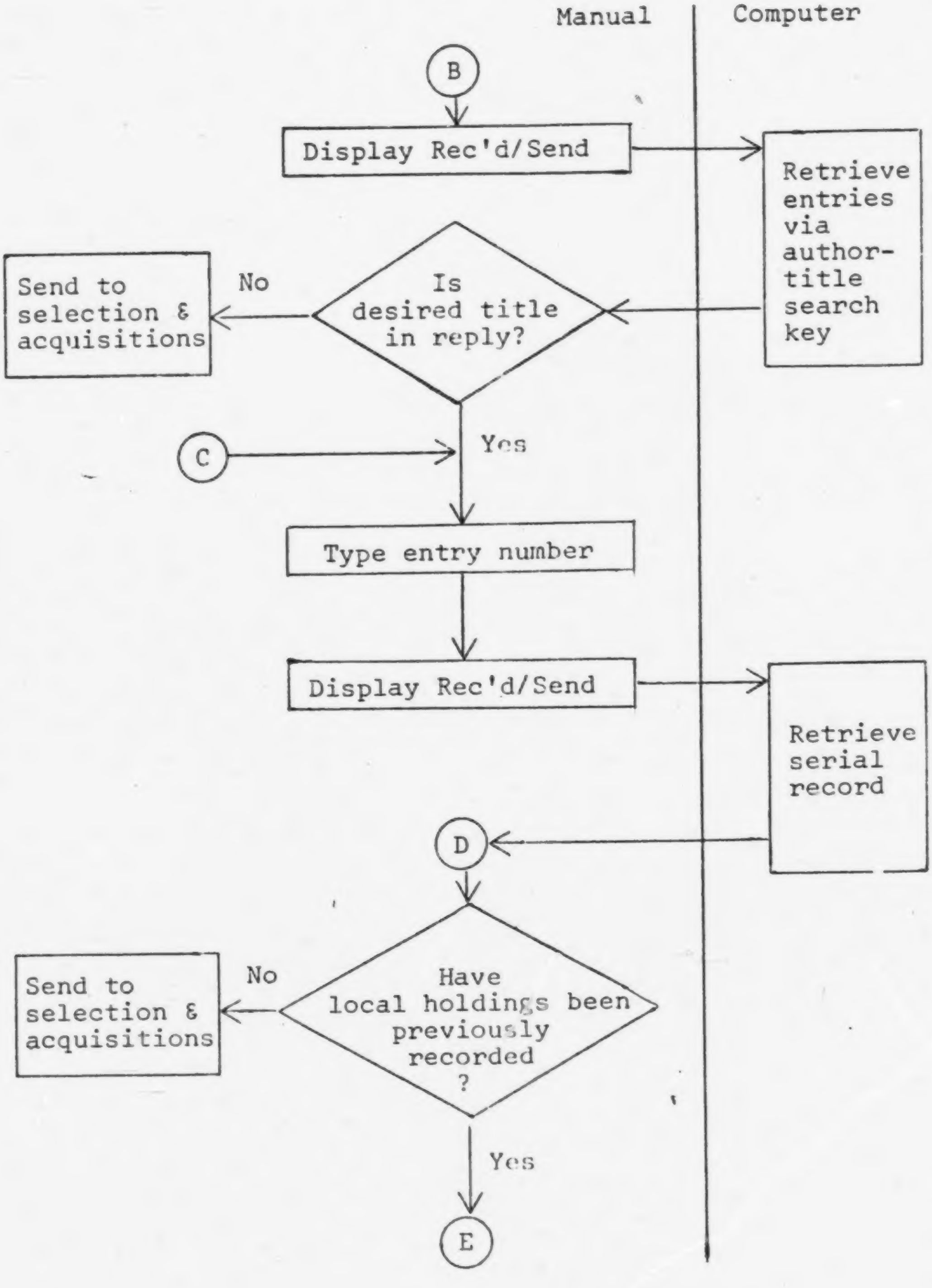

Manual
Computer
B
Display Rec'd/Send
Retrieve entries via author-title search key
Is desired title in reply?
No
Send to selection & acquisitions
Yes
C
Type entry number
Display Rec'd/Send
Retrieve serial record
D
Have local holdings been previously recorded ?
No
Send to selection & acquisitions
Yes
E

FIGURE 1 Serial Check-in Procedure - continued

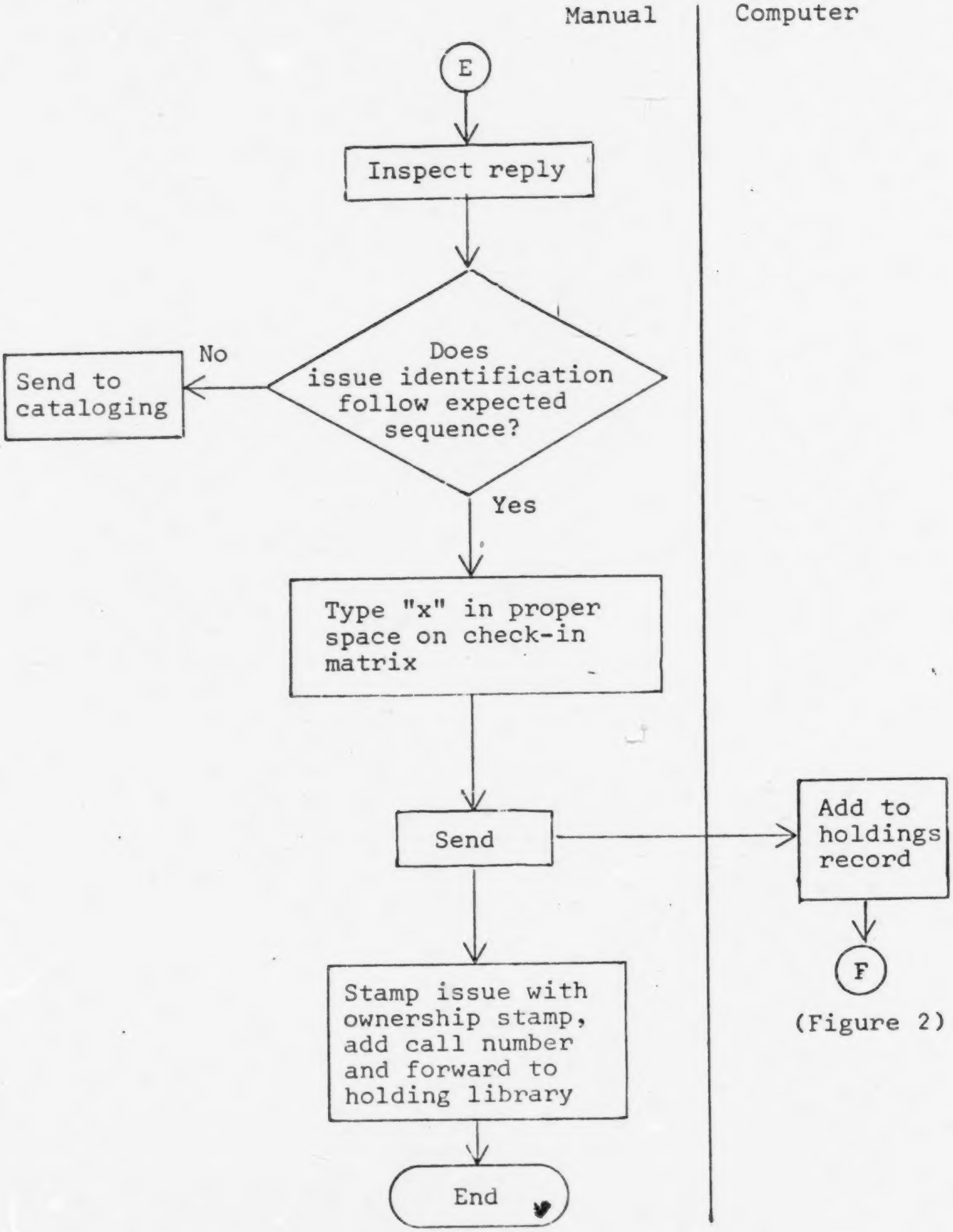

Manual
Computer
E
Inspect reply
Does issue identification follow expected sequence?
No
Send to cataloging
Yes
Type "x" in proper space on check-in matrix
Send
Add to holdings record
F
(Figure 2)
Stamp issue with ownership stamp, add call number and forward to holding library
End

FIGURE 1 Serial Check-in Procedure - continued

BINDING

When a library has made the decision to bind an individual serial, data relative to the binding of that title will be input into the record in the same manner as for input cataloging.

Once the data has been recorded, it will be possible for the computer automatically to produce binding notification slips containing full binding instructions for each physical volume and the binding fund number if required. The computer will also put out binding lists of items to be sent to the bindery in one shipment.

Normally a binding notification slip will be produced as soon as the components (specified issues, title page, index, etc.) to be bound into one physical unit have been received. However, when it is desireable to delay the binding of certain titles to keep them available until the end of a term, or to avoid a large bulk of binding at one time, it will be possible to postpone the production of the binding notification slip by recording a later binding date with the other binding instructions. Then the binding notification slip will be produced on the specified date, provided the bindable unit is complete.

Binding notification slips for the volumes ready to be sent to one bindery at the same time will be assembled along with a list of the items and forwarded to the appropriate library prior to the bindery pick-up date.

The following steps describe the bindery preparation routine flowcharted in Figure 2.

After each issue is checked in, or on the designated date, the computer will scan the record for a completed physical volume. If the components to be bound together are present, the computer will produce a binding notification slip to be sent to the library concerned.

Upon receipt of the binding notification slip, prepare the volume for bindery pick-up.

When the bound volume is returned from the bindery, modify the holdings statement to indicate the bound status.

Type in the title search key, then DISPLAY REC'D/SEND. The reply will be a display of the local holdings.

Insert braces before and after the issues included in the bound volume and depress SEND to record the information in the computer.

If there is a call number, transcribe it to the bound volume and send the volume to physical processing.

An augmentation of the binding applications set forth here will result in a subsystem designed to include the binding of various types of materials. This binding subsystem will be defined as a component of the Technical Processing System.

For ephemeral periodicals that a library may wish to retain for a limited time (perhaps the current year only or the latest three years), the computer will produce discard notices instead of binding slips. After the last issue of the current year is checked in, the computer will produce a notice to discard the issues for the year preceding the specified retention period.

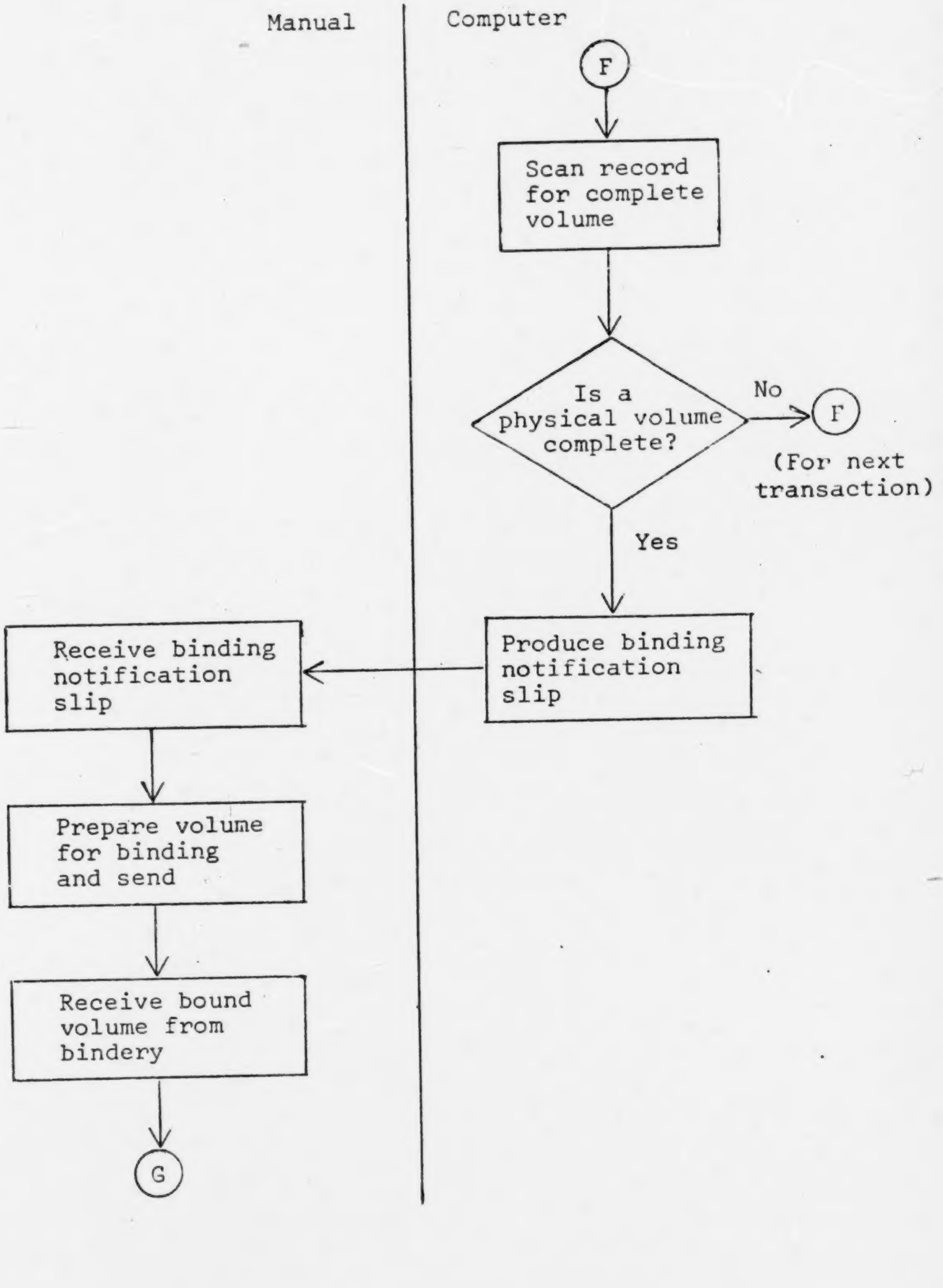

Manual
Computer
F
Scan record for complete volume
Is a physical volume complete?
No
F
(For next transaction)
Yes
Produce binding notification slip
Receive binding notification slip
Prepare volume for binding and send
Receive bound volume from bindery
G

FIGURE 2 Bindery Preparation Routine

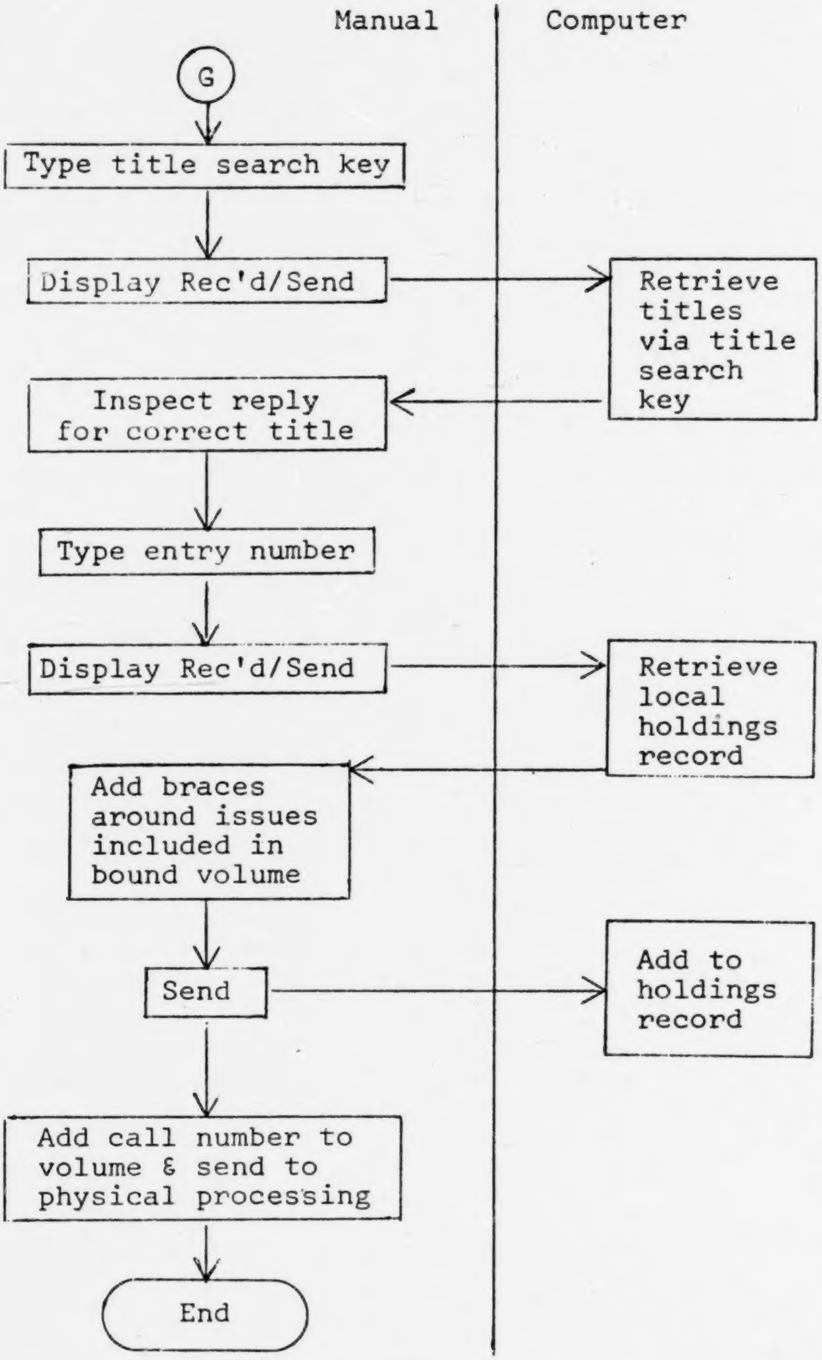

Manual
Computer
G
Type title search key
Display Rec'd/Send
Retrieve titles via title search key
Inspect reply for correct title
Type entry number
Display Rec'd/Send
Retrieve local holdings record
Add braces around issues included in bound volume
Send
Add to holdings record
Add call number to volume & send to physical processing
End

FIGURE 2 Bindery Preparation Routine - continued

CLAIMS

The system will produce claim notices automatically generated by the computer, or manually requested through the terminal, and sent directly to the publisher or vendor from OCLC.

To precipitate the automatic claims, OCLC will establish claim cycles based upon the frequency and pattern of publication and the predictable lag between the specified publication date and expected receipt. Factors, such as batch mailing of some foreign periodicals, which might reasonably delay delivery of an anticipated issue, will be taken into consideration when setting up the claim cycle for each title. Any library wishing to modify or change the established claim cycle may do so.

It will be necessary for each library to indicate in the serial record where the claim notices are to be sent and the maximum number of claims to be generated as part of the automatic claim cycle.

A claim cyle will consist of 1) the interval between the anticipated receipt of an issue and the first claim notice, 2) the interval between succeeding claim notices, and 3) the interval between the last specified claim notice and the claim report to be sent to the library concerned.

The computer will produce claim notices immediately following the specified intervals of the claim cycle if no "x" has been entered on the check-in matrix to indicate receipt of an expected issue (see Figure 3).

If an "x" is entered for an issue when an earlier issue has not yet been received, the computer will produce a claim notice for the missing issue even though the first interval of the claim cycle has not expired.

It will be possible to negate a claim action, even though an issue has not been received, by entering a "0" (zero) in the space where the issue would ordinarily be checked in.

Claims for irregular publications and other "out-of-cycle" claims can be triggered by keying in a claim request through the terminal.

Periodically, the computer will scan serial holdings records and produce a list for each institution of its titles for which there have been no receipts within the period.

A record of claim notices sent will be stored in the computer memory and will be accessible to the Member library through the terminal.

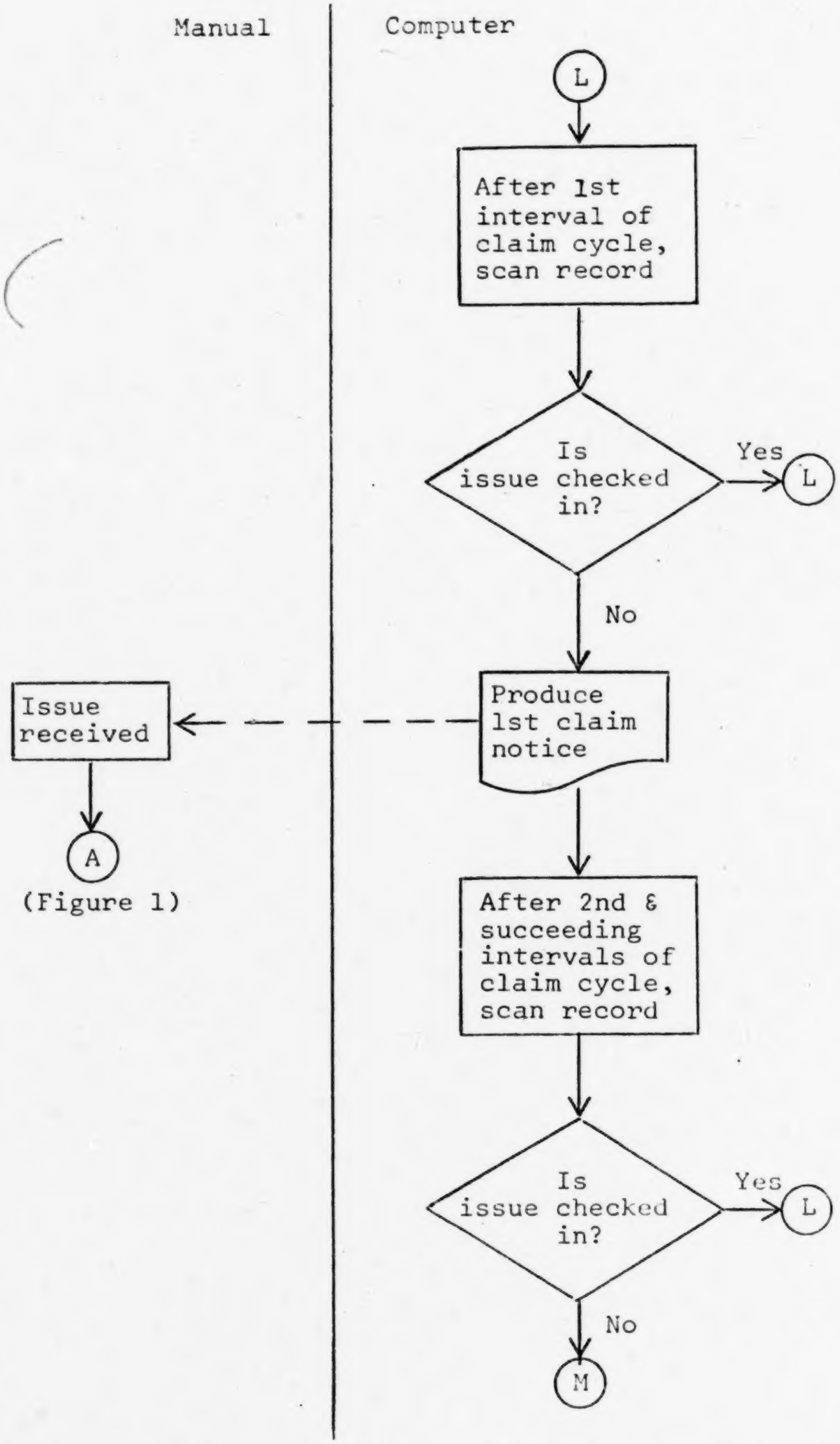

Manual
Computer
L
After 1st interval of claim cycle, scan record
Is issue checked in?
Yes
L
No
Produce 1st claim notice
Issue received
A
(Figure 1)
After 2nd & succeeding intervals of claim cycle, scan record
Is issue checked in?
Yes
L
No
M

FIGURE 3 Claim Procedure

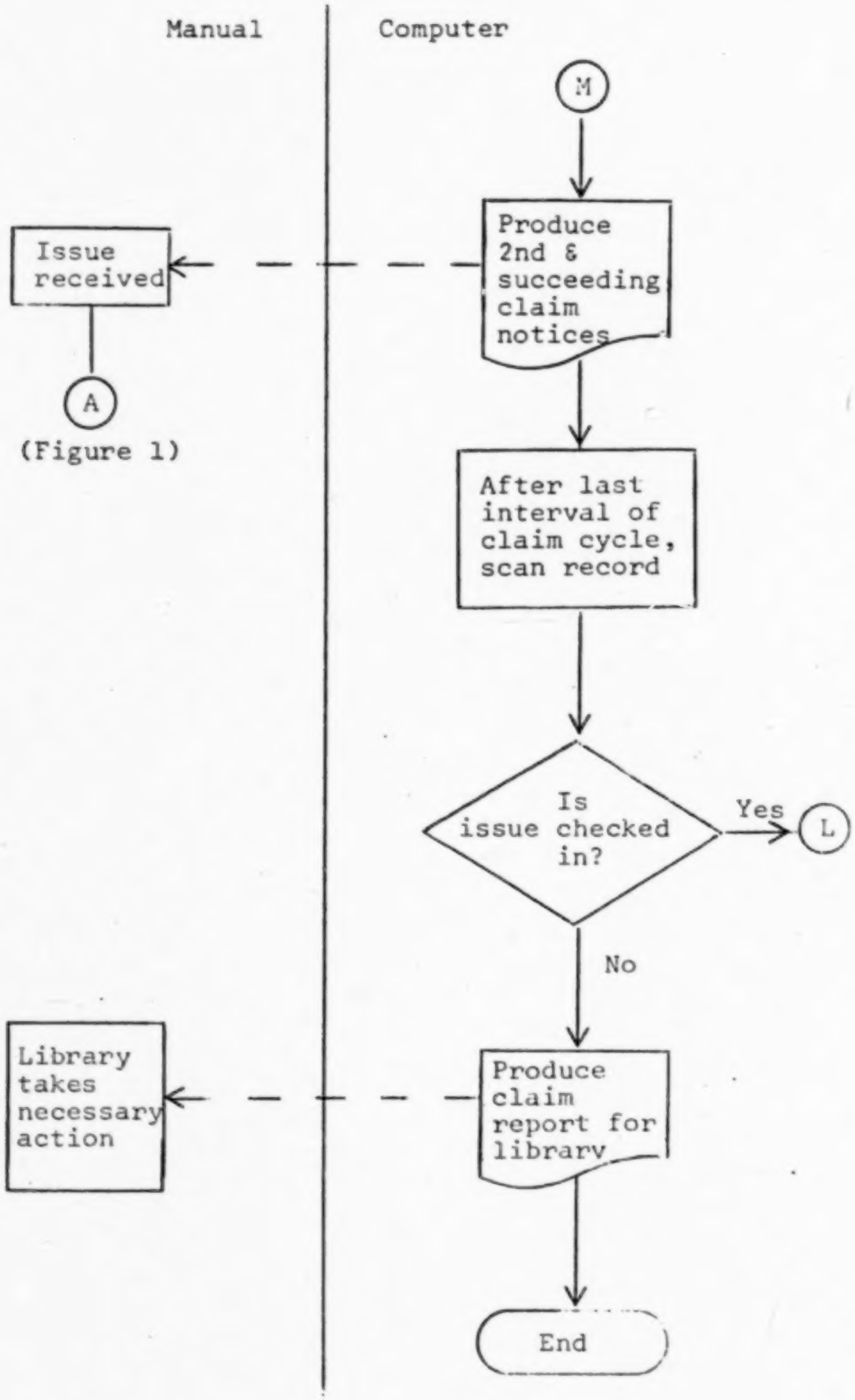

Manual
Computer
M
Produce 2nd & succeeding claim notices
Issue received
A
(Figure 1)
After last interval of claim cycle, scan record
Is issue checked in?
Yes
L
No
Produce claim report for library
Library takes necessary action
End

FIGURE 3 Claim Procedure - continued

LISTINGS

Individual libraries will be able to request any of all of the following listings as required.

Alphabetized list of serial titles in one institution

Alphabetized list of titles in each holding library in one institution

List of new titles added within a specified period of time

List of titles arranged under subject heading

List of titles arranged under classification numbers

List of titles arranged under foreign language of text

List of titles with common renewal date to be renewed from one vendor

List of titles to be submitted for bids

List of titles for which there have been no receipts over an extended period of time

Desirata list of issues lissing from holdings

Since the requirements of different libraries vary considerably, each listing will contain information, such as call number, location, and holdings, specified by the individual library. It will also be possible to produce various combinations of the above listings, for example titles in each holding library subarranged by classification.

CATALOGING

Serials cataloging will follow the MARC II format for serials that is designed to be compatible with the MARC II format for monographs. Cataloging details will be provided when the Serials Control System is implemented.

In addition to the bibliographic data provided for in the MARC format, the following holdings and operational data will be basic tc the generation of a number of products and therefore, insofar as possible, should be input with the initial entry by the local library for each title.

Special instructions for the local library

Binding information

Designation of holdings in microform

Number of claims in automatic claim cycle

Name and address of vendor if different from publisher

Renewal date and length of subscription

Individual title order number assigned by vendor if required

Special instructions, to be displayed with the check-in matrix, may include any information useful to the checker concerning a specific title: "Supplements cataloged separately"; "Send directly to binding"; "Route to library departments"; etc.

When the title of a serial is changed or when publication ceases, some device will be employed to alert all users to the change.

MICROFORMS

A detailed statement of holdings in microform, or any non-print form, will be included as part of the holdings record. When the entire holdings are in microform, the form will be indicated in the bibliographic record and all holdings will be presumed to be in that form. When only a portion of a serial is held in microform and when the current issues are received in printed form, it will be necessary to differentiate between the microform and the print-form holdings.

If a microform supercedes the printed form and the superceded issues are discarded, it will be possible to have the computer automatically produce a discard notice for the superceded issues at the time the microform is checked in.

VII

MANUAL FOR CHECKING-IN, BINDING, AND CLAIMING OF SERIALS ON A CRT TERMINAL - DRAFT OF PRELIMINARY PROCEDURES

Ohio College Library Center
1314 Kinnear Road
Columbus, Ohio 43212
December, 1971

PREFACE

The following text describes the procedures applicable to the use of the CRT terminal for checking-in, binding, and claiming of serials. These procedures are designed to be incorporated into the individual work flow of each library.

This draft is neither final nor complete, since certain computer operations have yet to be defined. Therefore some details have been omitted at this time and others may be changed slightly before the manual is completed in its final form.

The fields referred to in the text are fully described in Serials: A MARC Format and the Addendum number 1 to that format.

CHECK-IN PROCEDURE

The operator will log into the system using his social security number plus a symbol designating the Serials Control System. The screen display for the check-in operation within the serials system will be formated to include the following information:

Call number

Location (Holding library)

Frequency of publication

Claim cycle

Date the latest issue was received

Established* main entry (individual or corporate name from fields 100, 110, or 111) if there is one

Title used by the individual library if it is identified in the 200, 245, or 246 fields

Vendor

Claim history for issues not received

Special instructions for checker

Complete holdings statement

Next expected issue

A diagram of the screen display used for serials check-in is shown in Figure 1.

---

* Established according to LC, The Union List of Serials, ALA Cataloging Rules for Author and Title Entries, or Anglo-American Cataloging Rules.

```
SERIALS HOLDINGS/CHECK-IN ₱
 ₱
CALL NO:            LOC:        FREQ:          CLAIM CYCLE: ₱
 ₱
MAIN ENTRY: ₱
 ₱
TITLE: ₱
 ₱
VENDOR: ₱
CLAIM FROM: ₱
CLAIM HISTORY: ₱
SPECIAL INSTRUCTIONS: ₱
 ₱
 ₱
 ₱
HOLDINGS: ₱
 ₱
 ₱
 ₱
NEXT EXPECTED ISSUE: VOL:        NO:        DATE: ₱
 ₱
```

FIGURE 1 Serials Holdings/Check-in Screen

Once logged in, the checker will retrieve the records desired by means of search keys similar to those established for cataloging. (See Cataloging on a Cathode Ray Tube Terminal, pp. 20-21.) The author-title search key can be used if there is a main (author) entry in addition to the title. A title search key for any of the titles indicated in fields 200 (Title as it appears on the piece), 245 (Full title), or 246 (Varying forms of title) can be used to retrieve the record even though the official entry as established by the cataloging library is in another form.

The following steps describe the check-in procedure illustrated in flowchart form in Figure 2.

Log into the Serials Control System.

Type a title search key for the issue received, then depress DISPLAY REC'D and SEND. If the serial has been entered in the system, the reply will be either a display of the Check-in Screen for the title or a display of truncated titles that fit the search key.

If the title is not shown in either manner, try an author-title search key if there is any possible author entry.

If the desired title is not displayed as the result of either of the above approaches, send the issue to selection and acquisitions.

If the title appears as one of several titles, type the entry number accompanying the desired title then DISPLAY REC'D and SEND. The reply will be a display of the Check-in Screen for the title with the local holdings statement.

Should the screen display contain only the title with no previous holdings recorded, or with an "on order" designation, send the issue to selection and acquisitions.

If local holdings have been recorded, compare the issue identification (volume, number, date, etc.) with that displayed on the screen as the Next Expected Issue.

If the issue in hand agrees with the Next Expected Issue displayed, and with the cursor at home position, depress UPDATE and SEND to update the holdings record.

If the space following the "Next Expected Issue" is blank, as it will be for irregular serials that cannot be predicted, type the issue identification in that space, depress ADVANCE LINE, UPDATE, and SEND. The computer will update the holdings record.

If the issue in hand is an earlier issue that was not received when expected or a special issue not anticipated, type the issue identification on the line below the Next Expected Issue, depress ADVANCE LINE, UPDATE, and SEND. This action will update the holdings record but will leave the Next Expected Issue display intact.

If the issue in hand is the one following the Next Expected Issue displayed, and with the cursor at home position, type "no" and SEND. This action will trigger a claim for the skipped issue and update the Next Expected Issue display, which should then agree with the issue received.

If the issue in hand does not agree with the Next Expected Issue and does not appear to follow the established publication pattern, that is if there is a discrepancy between any of the elements by which the issue is identified, send the issue to cataloging.

After receipt of the issue has been properly entered, transcribe the call number from the screen to the issue, stamp it with the library ownership stamp, and forward it to the holding library.

If an issue of a serial is missing after it has been checked in, denote this by inserting "ℓ" after the number of the lost issue in the holdings statement. For example, if the holdings statement reads "ǂv3ǂ[no]1-6" and number 5 has been lost, put the terminal into INSERT MODE by depressing the INSERT key, position the cursor over the 6 and type "4[5ℓ]", depress INSERT again to return the terminal to normal mode, then depress ADVANCE LINE and SEND to inform the computer of the change. If the lost issue is replaced and it is desirable to indicate the replacement status until the invoice is received, place the cursor over the "ℓ" in the holdings statement and type "r", then depress ADVANCE LINE and SEND, as above. A holdings statement reading "ǂv3ǂ[no]1-4[5r]6" means that all issues from 1 to 6 are present but number 5 is a replacement issue. The replacement or lost status can be deleted by placing the cursor over the 4, typing "6" and deleting the extra characters up to the next entry, and then sending the revised line to the computer, as above.

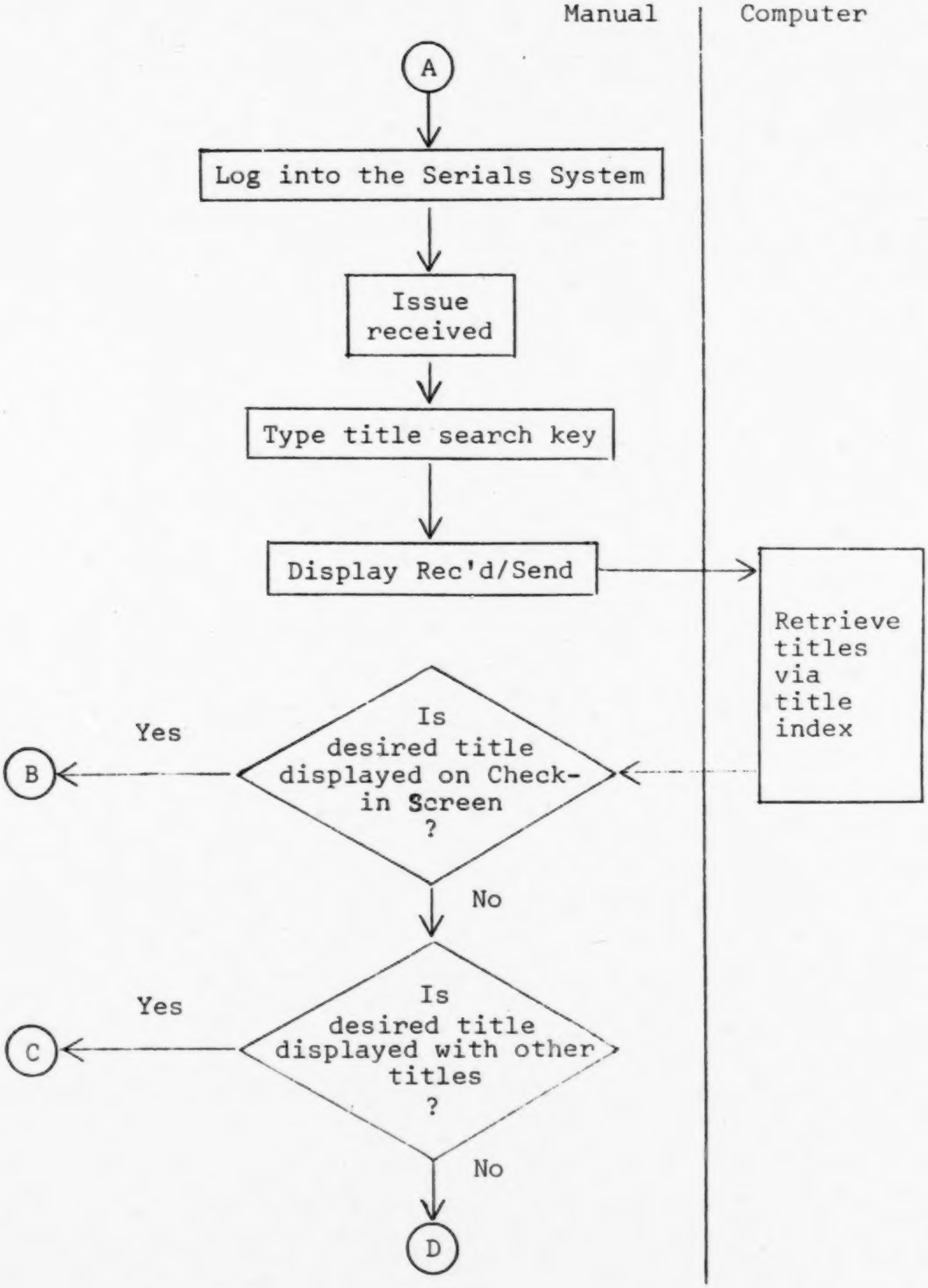

Manual
Computer
A
Log into the Serials System
Issue received
Type title search key
Display Rec'd/Send
Retrieve titles via title index
Is desired title displayed on Check-in Screen ?
Yes
B
No
Is desired title displayed with other titles ?
Yes
C
No
D

FIGURE 2 Serial Check-in Procedure

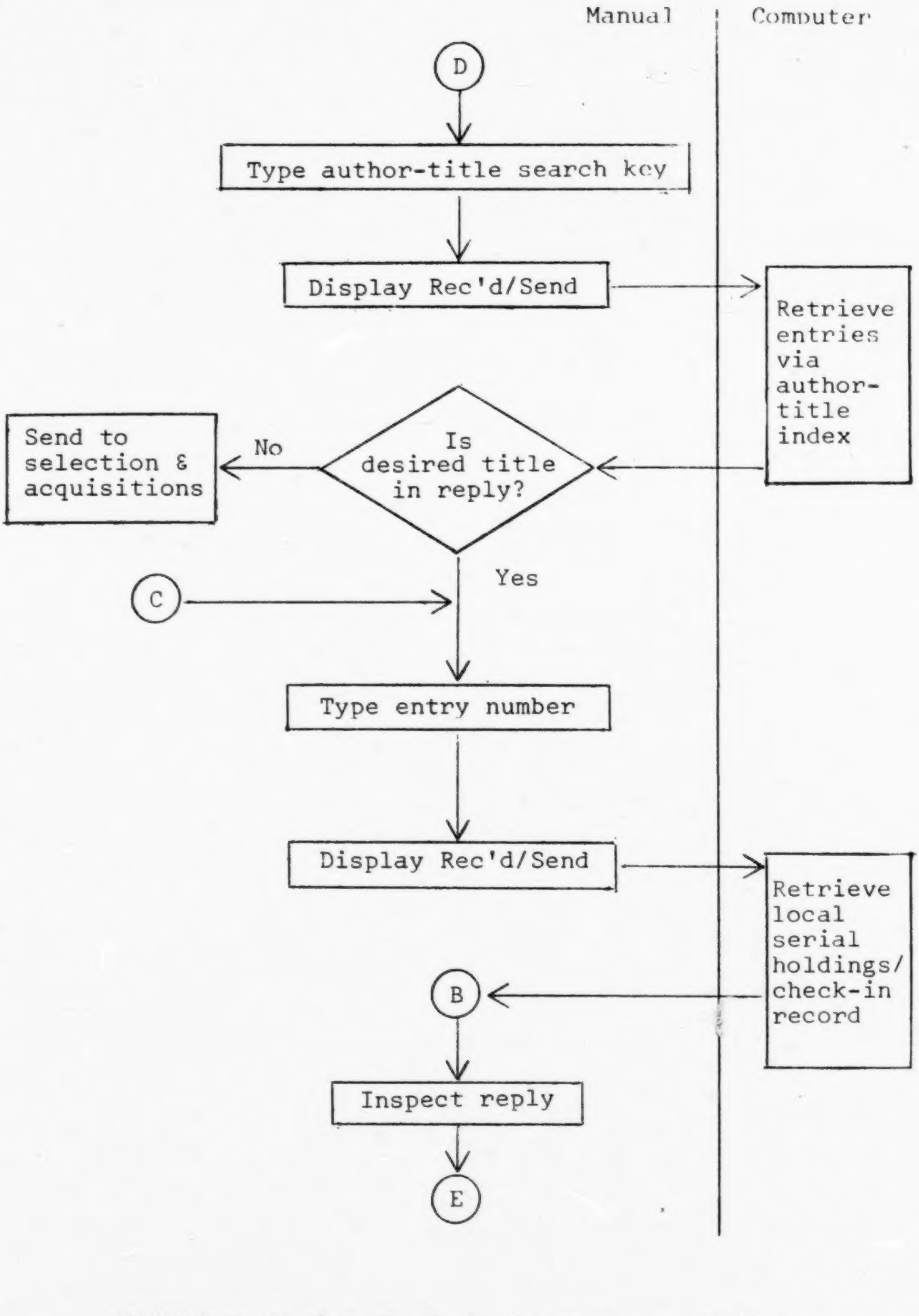

Manual
Computer
D
Type author-title search key
Display Rec'd/Send
Retrieve entries via author-title index
Is desired title in reply?
No
Send to selection & acquisitions
Yes
C
Type entry number
Display Rec'd/Send
Retrieve local serial holdings/check-in record
B
Inspect reply
E

FIGURE 2 Serial Check-in Procedure - Continued

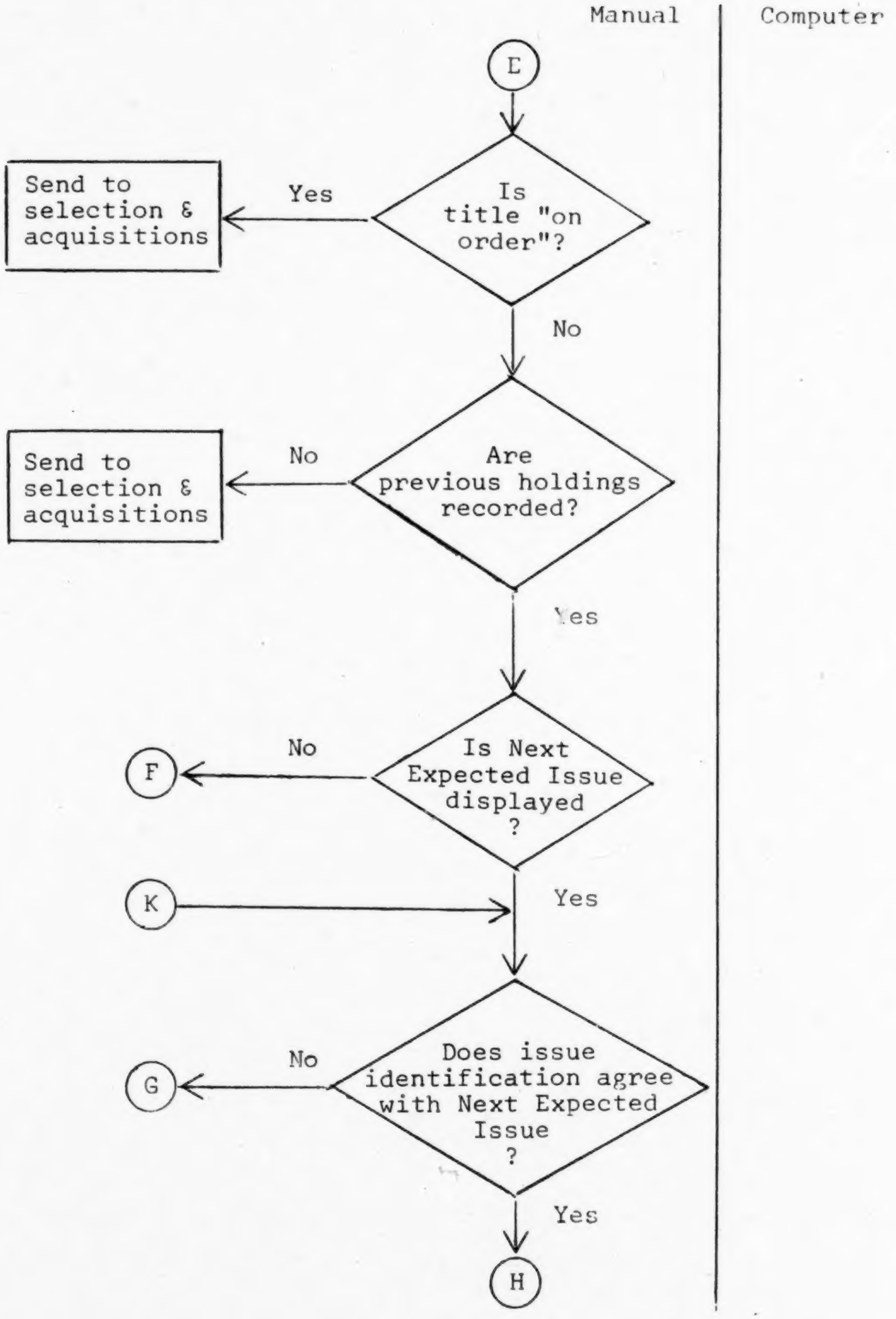

Manual
Computer
E
Is title "on order"?
Yes
Send to selection & acquisitions
No
Are previous holdings recorded?
No
Send to selection & acquisitions
Yes
Is Next Expected Issue displayed ?
No
F
K
Yes
Does issue identification agree with Next Expected Issue ?
No
G
Yes
H

FIGURE 2 Serial Check-in Procedure - Continued

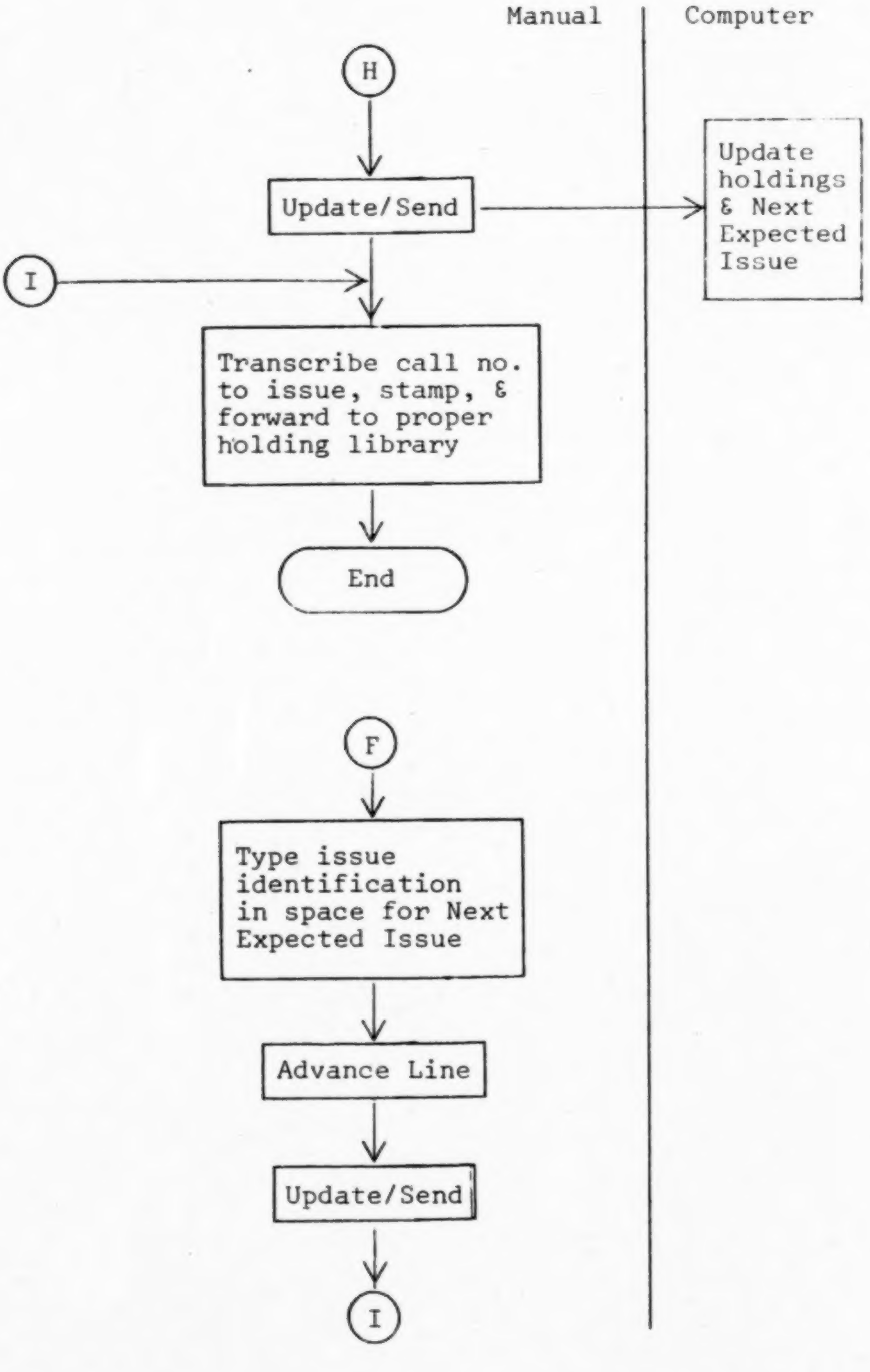

Manual
Computer
H
Update/Send
Update holdings & Next Expected Issue
I
Transcribe call no. to issue, stamp, & forward to proper holding library
End
F
Type issue identification in space for Next Expected Issue
Advance Line
Update/Send
I

FIGURE 2 Serial Check-in Procedure - Continued

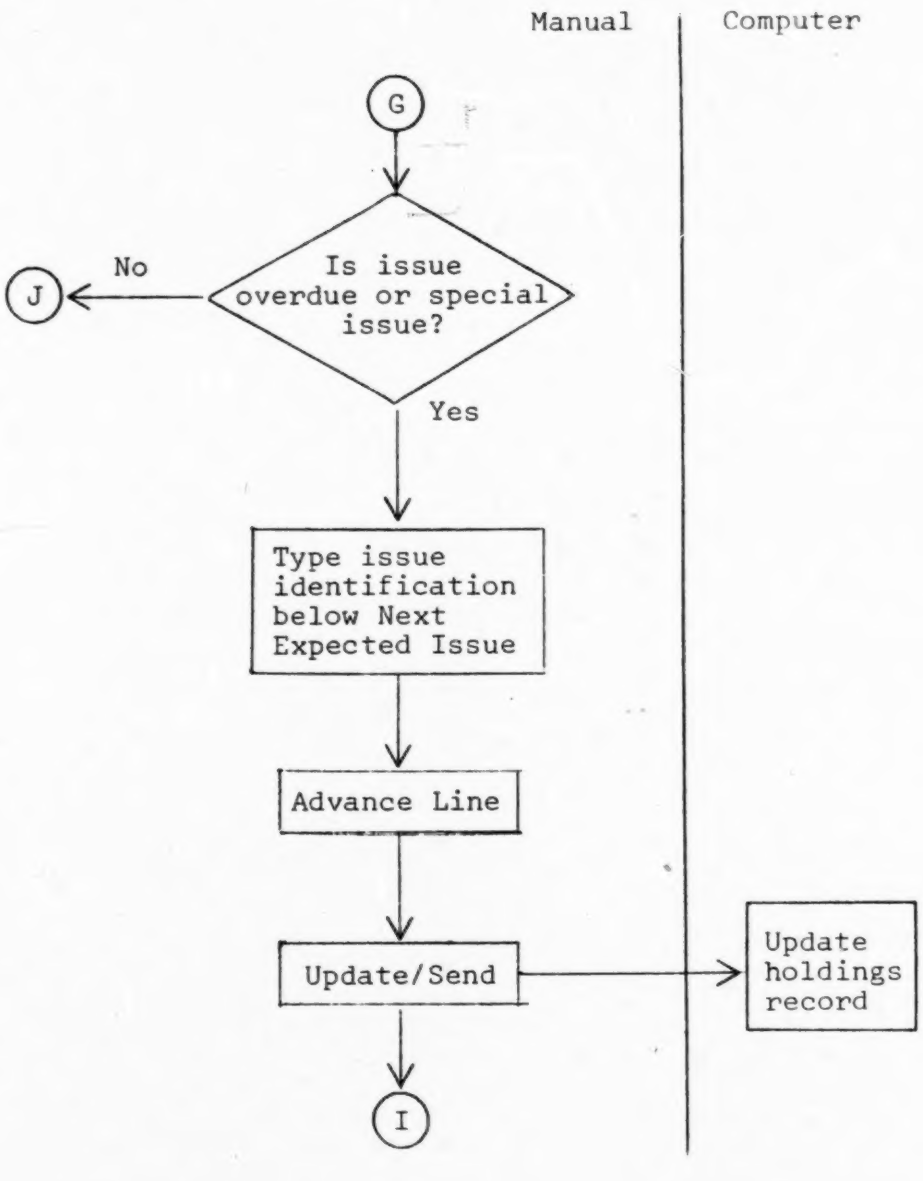

Manual
Computer
G
Is issue overdue or special issue?
No
J
Yes
Type issue identification below Next Expected Issue
Advance Line
Update/Send
Update holdings record
I

FIGURE 2 Serial Check-in Procedure - Continued

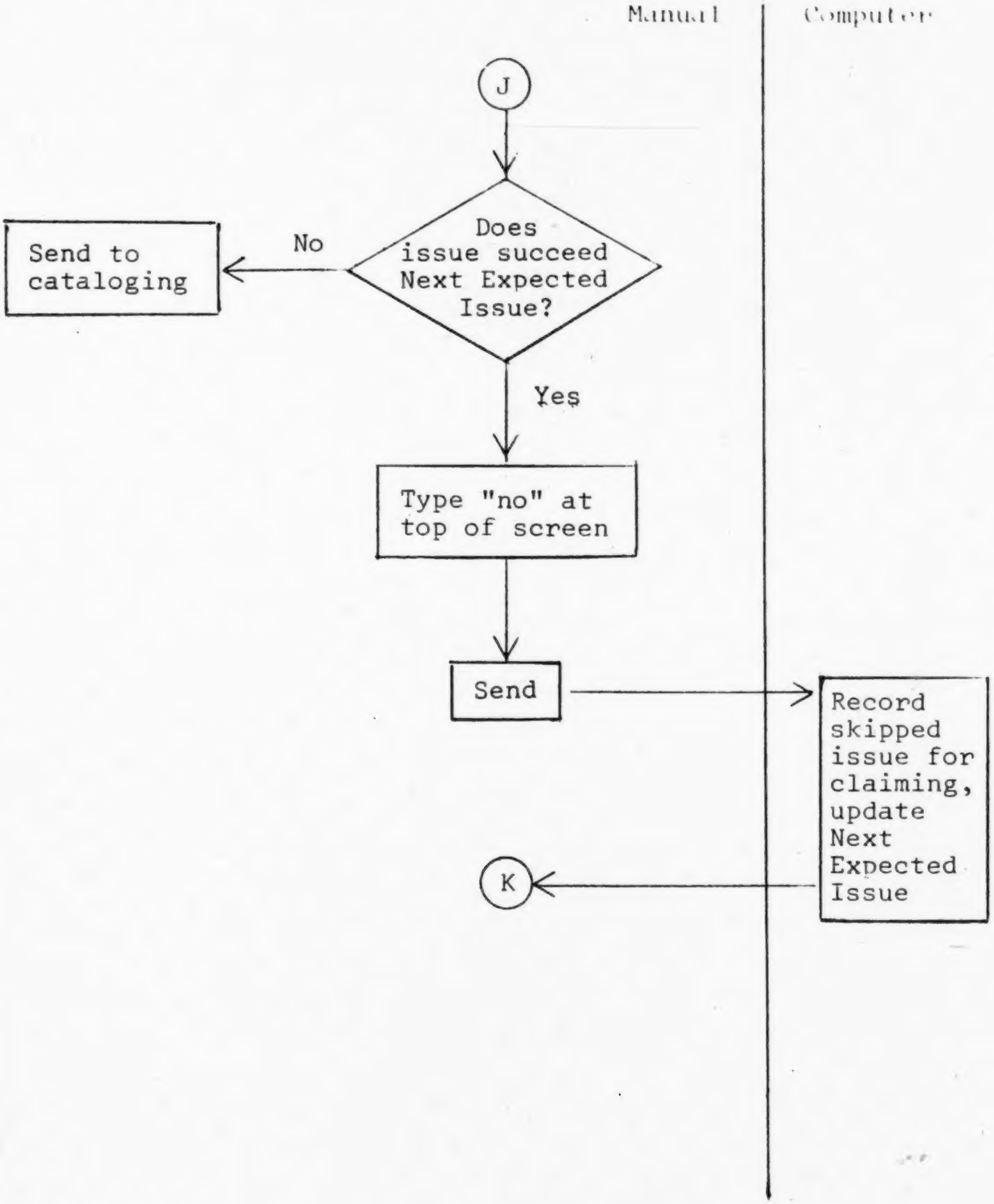

Manual
Computer
J
Does issue succeed Next Expected Issue?
No
Send to cataloging
Yes
Type "no" at top of screen
Send
Record skipped issue for claiming, update Next Expected Issue
K

FIGURE 2 Serial Check-in Procedure - Continued

BINDING

When a library has made the decision to bind an individual serial, data relative to the binding of that title must be input into the local record. After logging into the Serials Control System, the operator will locate the desired title as described in the Check-in Procedure. A screen display formated to include the information pertinent to the binding operation can be called up by keying in an additional symbol for binding.

A diagram of a Binding Screen is shown below in Figure 3.

```
BINDING Ᵽ
 Ᵽ
CALL NO:            LOC:      DATE(S) TO BIND: Ᵽ
 Ᵽ
MAIN ENTRY:
 Ᵽ
TITLE: Ᵽ
 Ᵽ
BINDERY: Ᵽ                          FUND NO: Ᵽ
BINDERY SCHEDULE:
TYPE OF BINDING:   COVER COLOR NO:  PRINT COLOR: Ᵽ
SPINE LETTERING: Ᵽ
BINDING INSTRUCTIONS: Ᵽ
 Ᵽ
 Ᵽ
 Ᵽ
 Ᵽ
 Ᵽ
 Ᵽ
VOL.IDENTIFICATION:               DATE SENT: Ᵽ
 Ᵽ
```

FIGURE 3 Binding Screen

The call number, location, main entry, and title will be retained from the Check-in Screen. All other information must be input by the library either at the time of cataloging or when the first volume is ready for binding.

If volumes are to be sent to the bindery as soon as all of the components are present and the first issue of the next volume has arrived, it is not necessary to specify "Date(s) to Bind". However, if it is preferable to delay binding to keep issues available until the end of a term, or to distribute the quantity of binding throughout the year, the date(s) of the desired bindery Shipment(s) must be specified.

"Bindery Schedule" refers to the frequency and the time of the month or week of the regular bindery shipment, for example, "Monthly, 3rd Thurs."

"Type of Binding" indicates the class of binding, such as specified or first class, standard, pamphlet, paperback, or other designation used by the individual bindery. For standard, pamphlet, or paperback types no further instructions need be input because the bindery will bind according to its own specifications.

For specified or first class binding however it is necessary to record the color number, the color of the print, and the exact lettering to appear on the spine as well as other instructions that apply to the binding of that title.

At the bottom of the Binding Screen the "Vol. Identification" will show the volume currently in preparation or at the bindery. The "Date Sent" will indicate the date the bindery slip was sent out from OCLC unless the library prefers to input the date of the actual bindery shipment.

Once the data has been recorded, the computer automatically will produce binding notification slips, containing full binding instructions, for each physical volume. Lists of items to be sent to the bindery in one shipment will also be produced for those libraries requesting them.

Binding slips for the volumes going to one bindery at the same time will be assembled along with the binding list and forwarded to the appropriate library prior to the bindery shipment date.

When bound volumes are returned from the bindery, the holdings statements must be modified to show the bound status of each item. After logging into the Serials Control System and retrieving the desired title with the holdings statement displayed, the operator will insert braces ({ }) around the items that adequately identify the bound unit, delete the unnecessary characters, then depress ADVANCE LINE and SEND.

The following steps describe the binding preparation and update routines flowcharted in Figure 4.

At least once a week the computer will scan each serial record for a completed physical volume.

If the components to be bound together are present and the first issue of the next volume has been checked in, the computer will produce a binding notification slip to be sent to the library concerned.

Upon receipt of the binding slip, prepare the volume for bindery shipment.

When the bound volume is returned from the bindery, log into the Serials Control System to update the holdings record.

Type in the title ot the author-title search key, then DISPLAY REC'D and SEND.

If the title appears as one of several, key in the entry number for the desired title, DISPLAY REC'D, and SEND. The reply will be a display of the title with the local holdings.

Insert braces in the holdings statement before and after the issues included in the bound volume and delete the unnecessary characters, then depress ADVANCE LINE and SEND to transmit the change to the computer.

If there is a call number, transcribe it to the bound volume and send the volume to physical processing.

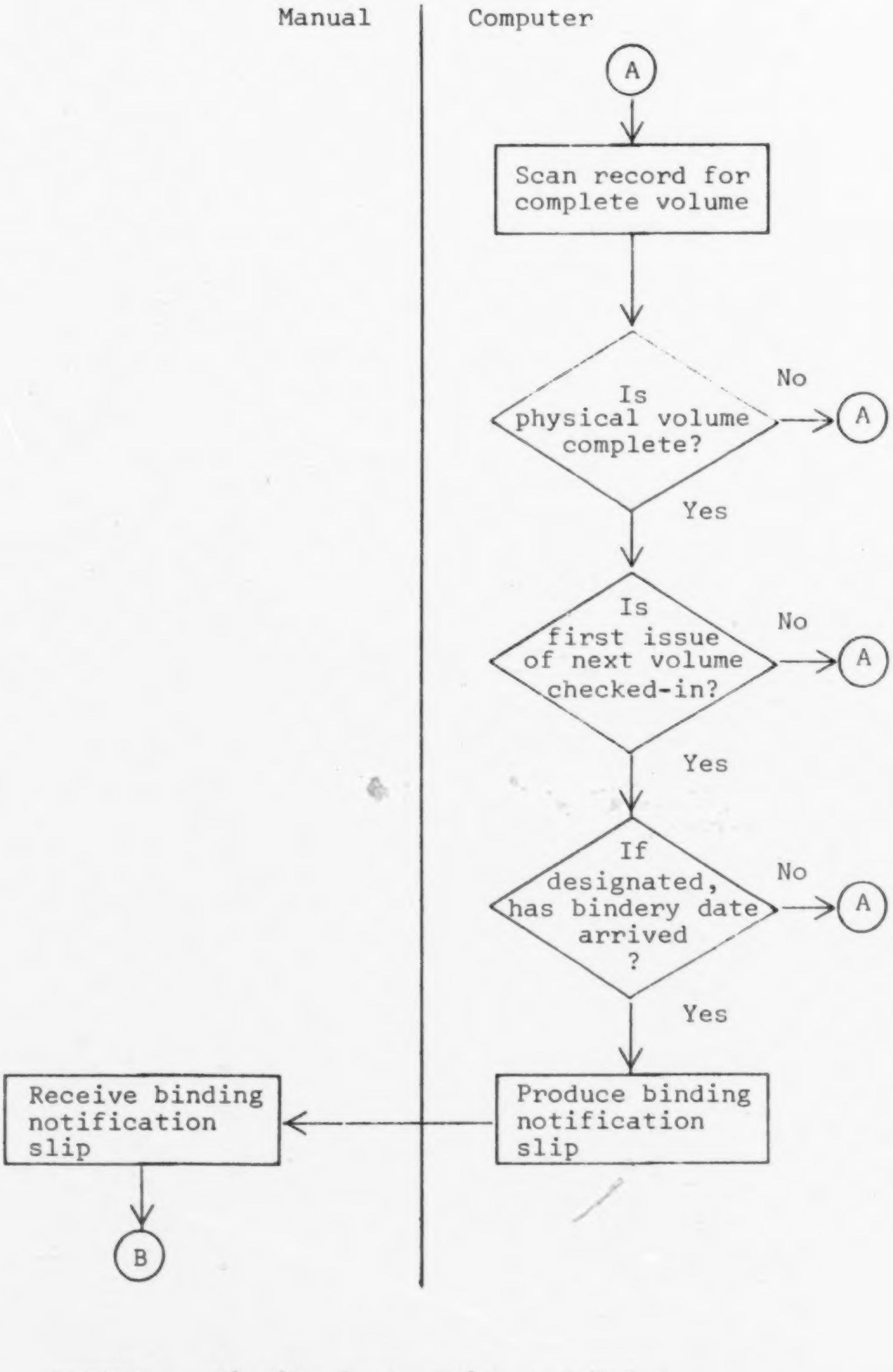

Manual
Computer
A
Scan record for complete volume
Is physical volume complete?
No
A
Yes
Is first issue of next volume checked-in?
No
A
Yes
If designated, has bindery date arrived ?
No
A
Yes
Produce binding notification slip
Receive binding notification slip
B

FIGURE 4 Binding Preparation and Update

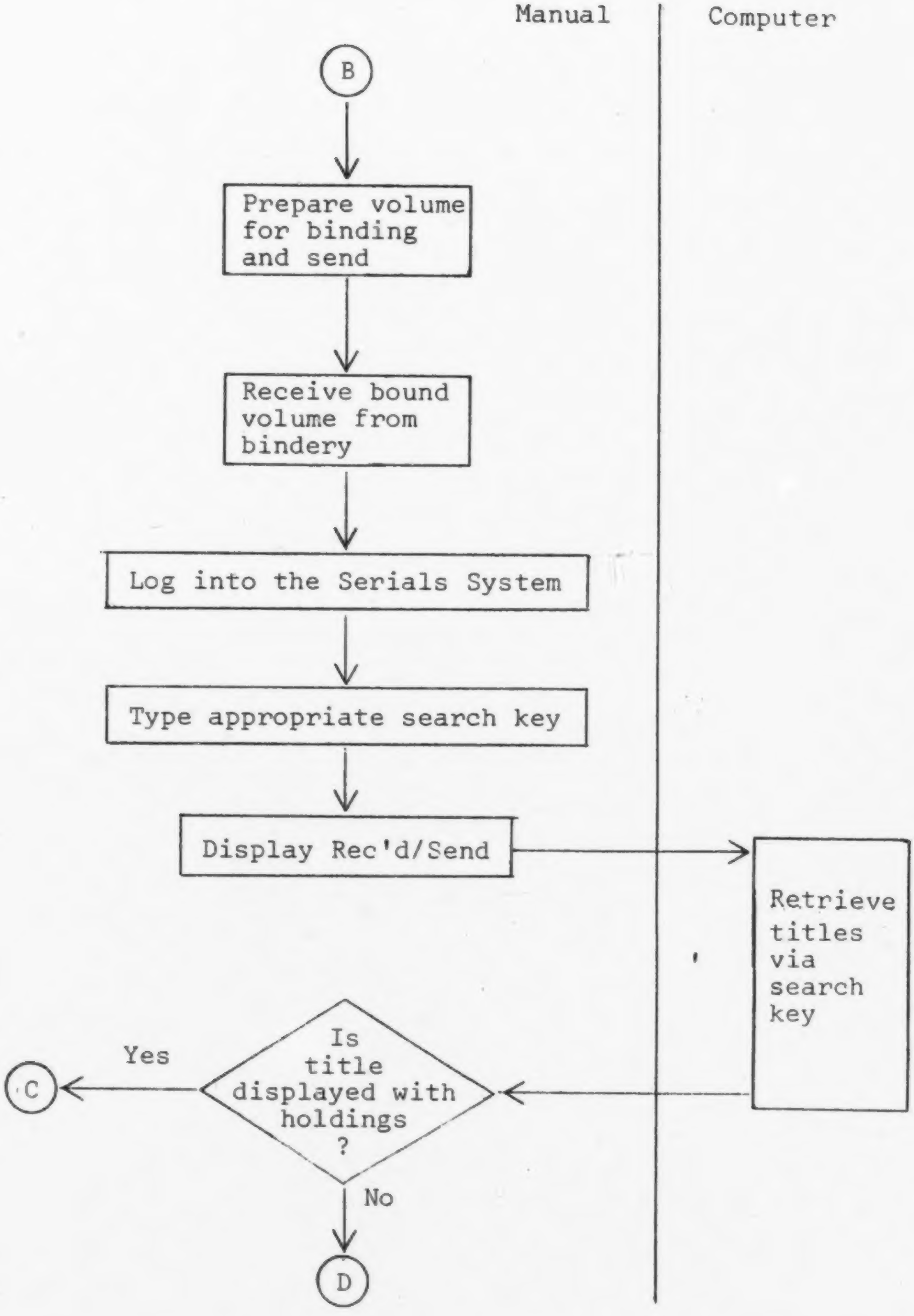

Manual
Computer
B
Prepare volume for binding and send
Receive bound volume from bindery
Log into the Serials System
Type appropriate search key
Display Rec'd/Send
Retrieve titles via search key
Is title displayed with holdings ?
Yes
C
No
D

FIGURE 4 Binding Preparation and Update - Continued

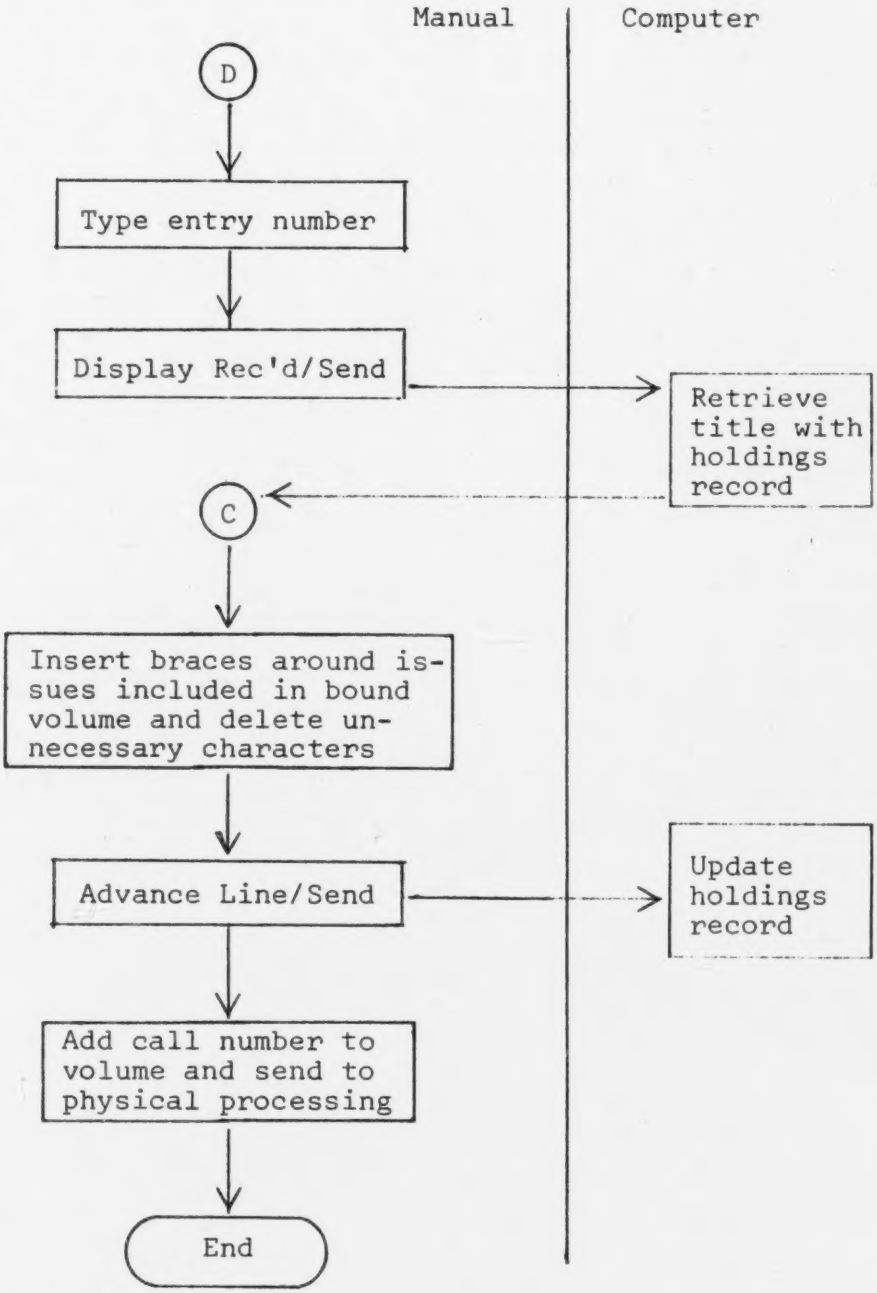

Manual
Computer
D
Type entry number
Display Rec'd/Send
Retrieve title with holdings record
C
Insert braces around issues included in bound volume and delete unnecessary characters
Advance Line/Send
Update holdings record
Add call number to volume and send to physical processing
End

FIGURE 4 Binding Preparation and Update - Continued

An augmentation of the binding applications set forth here will result in a subsystem designed to include the binding of various types of materials. This binding subsystem will be defined as a component of the Technical Processing System.

For ephemeral periodicals that a library may wish to retain for a limited time only (perhaps the current year or the latest three years), the computer will produce discard notices instead of binding slips. After the first issue of the new year or volume is checked in, the computer will produce a notice to discard the issues for the year preceding the specified retention period.

CLAIMS

The Serials Control System will produce claim notices automatically generated by the computer, or manually requested through the terminal, and sent directly to the publisher or vendor from OCLC.

The member libraries must indicate in each serial record where the claims are to be sent. This information should be input following "Claim from:" on the Check-in Screen.

To precipitate the automatic claims, OCLC will establish claim cycles based upon the frequency and pattern of publication and the predictable lag between the specified publication date and expected receipt. Factors, such as batch mailing of some foreign periodicals, which might reasonably delay delivery of an anticipated issue, will be taken into consideration. Any library wishing to change an established claim cycle may do so by typing over the cycle displayed on the Check-in Screen and then depressing ADVANCE LINE and SEND to transmit the change to the computer.

A claim cycle will consist of 1) the interval between the date of the latest issue received and the first claim notice, 2) the interval between succeeding claim notices, and 3) the number of claims to be sent. Each library will designate the maximum number of automatic claims to be sent for that library. The last of these will be mailed to the library rather than to the publisher or dealer so that the library will be alerted to follow up with appropriate action to correct the delinquency.

To initiate a claim notice manually, log into the Serials Control System, retrieve the record for the title desired, then, with the cursor at home position, type the identification of the overdue issue, "claim", and SEND. As long as an issue is outstanding, a record of the claims sent will be displayed on the screen as the "Claim History" for that issue. When the issue is received and checked in, the Claim History will be deleted automatically.

To nullify a claim action at any time, retrieve the screen display for the desired title and, with the cursor at home position, type "no claim" and SEND. That command will be displayed below "Special Instructions" and will remain in effect until it is cancelled by the library. To cancel the "no claim" command, place the cursor to the immediate left of the first letter, depress SOM (Start of Message), move the cursor to a position preceeding the paragraph mark, depress INSERT, type "negate" following the message, depress INSERT, ADVANCE LINE, then SEND.

Periodically the computer will scan the serials records and produce a list for each institution of its titles for which there have been no receipts or claims within the period.

MICROFORMS

A detailed statement of holdings in microform, or any non-print form, will be included as part of the holdings record. When the entire holdings are in microform, the form will be indicated in the bibliographic record and all holdings will be presumed to be in that form. When only a portion of a serial is held in microform and when the current issues are received in printed form, it will be necessary to differentiate between the forms in the holdings record.

If a microform supercedes the printed form and the superceded issues are discarded, the computer will produce a discard notice for the superceded issues at the time the microform is checked in.

VIII

the ohio college library center
1314 kinnear rd. - columbus ohio - 43212

21 January 1972

SUGGESTED MINIMUM REQUIREMENTS FOR SERIALS CATALOGING

As a point of departure for discussion at the Serials Advisory Committee meeting on 9 February 1972, OCLC suggests that the information specified in the fields listed below be considered as basic to the cataloging of serials. Not all of the fields will be applicable to each serial; however, when the fields do apply, it is highly desirable that they be included in the bibliographic record.

It is further suggested that an effort be made to verify the main entry through NUC and/or NST, if the cataloging library has these tools, even though that library may choose to use another form of entry for its own catalog and check-in record.

For a full description of the fields, please consult Serials, a MARC Format.

FIXED FIELDS

Tag	Element No.	Name of Data Element
008	1	Date entered on file (will be entered automatically by the computer)
	2	Publication status; c - current d - dead ? - unknown
	3	Beginning date of publication (year only)
	4	Ending date of publication
	6	Frequency (a one character code, see MARC)
	7	Regularity; r - regular n - normalized irregular x - completely irregular
	9	Type of serial designator; b̸ - blank (none of the following) p - periodical m - monographic series n - newspaper

Suggested Minimum Requirements for Serials Cataloging

FIXED FIELDS

Tag	Element No.	Name of Data Element
008	10	Physical medium designator; a one character code to denote the physical form in which a serial is originally published
	11	Form of reproduction; a one character code to indicate the type of reproduction
	15	Title page availablity; a one character code to show the existence of a title page and the method of acquisition
	16	Index availability; a one character code to show the existence of an index and the method of acquisition
	17	Cummulative index availablity (will be transferred by the computer from variable field 555)
	20	Language code; a three character code indicating the language of the text, with "MUL" indicating multilingual
	21	Modified record designator; a one character code to indicate when an LC printed card has been modified
	22	Cataloging source code (will be transferred by the computer from variable field 040)

VARIABLE FIELDS

Tags	Name of Field
010	LC card number (if available from copy in hand)
040	Cataloging source
041	Languages; Languages of text if multilingual, or language of text followed by language of original if a translation
050	LC call number (if available from copy in hand)
060	NLM call number (if available from copy in hand)
082	DDC class number (if available from copy in hand)

Suggested Minimum Requirements for Serials Cataloging

VARIABLE FIELDS

Tags	Name of Field
090	Local LC call number
092	Local DDC call number
100	Main entry, personal name
110	Main entry, corporate name
111	Main entry, conference name
200	Title as it appears on the piece; required only when different from 245 or 1xx + 245
240	Uniform title
245	Full title
246	Varying forms of title
247	Former titles
250	Edition statement; used only when differing editions have identical titles, such as geographic editions
260	Imprint
310	Frequency
320	Current frequency control information (a non-printing field needed for holdings update and generation of claims)
330	Publication pattern (a non-printing field needed for holdings update and generation of claims)
362	Dates and volume designations
400	Series statement, personal name/title (traced)
410	Series statement, corporate name/title (traced)
411	Series statement, conference name/title (traced)
440	Series statement, title (traced)
490	Series statement, untraced or traced differently

Suggested Minimum Requirements for Serials Cataloging

VARIABLE FIELDS

Tags	Name of Field
500	General notes
525	Supplement note
546	Language note (Field 041 expressed language information in coded form.)
547	Former title note (complexity)
555	Cumulative indexes
580	Linking entry note (complexities)

In addition to the above, the appropriate Subject Entries (600's), Added Entries, Linking Entries (700's), and Series Added Entries (800's) should be entered.

IX

OCLC TECHNICAL PROCESSING SYSTEM - A PRELIMINARY OUTLINE

Ohio College Library Center
1314 Kinnear Road
Columbus, Ohio 43212
February, 1972

OCLC TECHNICAL PROCESSING SYSTEM

PRELIMINARY OUTLINE OF THE SYSTEM

The aim of the Technical Processing System is faster and more accurate processing of books, reduction in personnel involved in technical processing, accumulation of data into one central record, and reduction in unnecessary duplication of books among member libraries.

There will be three major groups of processes: 1) unitary procurement, 2) extended procurement, and 3) gifts. Unitary procurement constitutes the acquisition and processing of books as the result of an order being placed for a single specific title. Extended procurement comprises blanket orders, standing orders, exchanges, subscriptions, governmental items, and memberships in publications producing groups. Gifts constitute those accessions which are unpredicted in their arrival and require no payment.

In this brief description, only the unitary procurement process will be delineated, and only the main flow of work will be described.

When a request is received by a library acquisitions department, it will first be searched via the terminal to determine whether or not the title is already in the library or currently on order. Even though the title is not in the local library system, the search may yield the bibliographic record for the desired item. That record can be used to verify the author and title as well as to supply other pertinent information.

After the decision has been made to purchase an item and the fund, order number, vendor, etc. have been assigned, the order work form will be requested on the terminal and the relevant data typed in and transmitted to the computer. A multiple copy order will be produced automatically at the center, two copies to be sent to the vendor and the remaining copies to be sent to the library originating the order.

At the time of receipt, the record for the title will be recalled to the terminal screen. When the record is displayed and it has been determined that the title received is in fact the one ordered, the operator will transcribe any necessary information from the screen to the copy of the order slip accompanying the item. The item can then be forwarded to the appropriate department for further processing.

Invoice information will be added to the computer record whenever the invoice is received.

COMPUTER PRODUCTS

The computer products will be of four types: 1) on-line CRT screen displays, 2) printed forms, 3) statistical and other reports, and 4) punched card reports.

The first group of products described will be operational at the time the Technical Processing System is implemented.

The second group is a series of products that will be added as soon as possible following implementation. The third group consists of a series of reports that will be produced on demand from the system; the Center will also add this third group to the system subsequent to initial implementation.

GROUP I

SCREEN DISPLAYS

There will be a separate screen display for each "on order" title and each gift title. Each record display will include data relative to the processing of that title. The records will be retrievable by order number or by title or author-title search keys. The computer will maintain indexes required to access the records and to access the specific data needed for reports and listings.

Examples of screen displays for monographs (unitary procurement), serials (extended procurement), and gifts are shown in Figures 1, 2, and 3.

```
TECHNICAL PROCESSING - MONOGRAPHS

CALL NO:                       LOCATION:           ORDER NO:
LC CARD NO:                                        ACCT. NO:
AUTHOR:

TITLE:

PLACE:                PUBL:                            YEAR:
VENDOR:               LIST PRICE:                 EST.COST:
NO. OF COPIES:        VOLS:                         EDITION:
SERIES:
REQUESTED BY:                                          DEPT:
DATE NEEDED:                                           FUND:
DATE ORDERED:         DATE REC'D:                      COST:
CLAIM HISTORY:

INVOICE NO:           INVOICE CLAIMED:
INVOICE BEING HELD:                   CLEAR FOR PAYMENT:
REMARKS:
```

FIGURE 1 Screen Display - Monographs

```
TECHNICAL PROCESSING - SERIALS

CALL NO:                       LOCATION            ORDER NO:
LC CARD NO:                                        ACCT. NO:
AUTHOR:

TITLE:

PLACE:                PUBL:                      FREQUENCY:
VENDOR:                                        SUBSC.PRICE:
NEW SUBSC:            RENEWAL:                 SUBSC. TERM:
REPLACEMENT OF:                                       PRICE:
REQUESTED BY:                                          DEPT:
DATE ORDERED:         DATE REC'D:                      FUND:

INVOICE NO:           INVOICE CLAIMED:
INVOICE BEING HELD:                   CLEAR FOR PAYMENT:
REMARKS:
```

FIGURE 2 Screen Display - Serials

```
TECHNICAL PROCESSING - GIFTS

CALL NO:                       LOCATION:         ORDER NO:
LC CARD NO:
AUTHOR:

TITLE:

PLACE:                   PUBL:                       YEAR:

DONOR:
DATE REC'D:                                      EST.COST:
REMARKS:
```

FIGURE 3 Screen Display - Gifts

The Fund Commitment Register will be accessible via the terminal at any time and will be current according to the latest data transmitted to the computer. The register will be arranged by fund and will include the following information for each fund:

Total income from the fund

Uncommitted total

Cash balance

Expenditures

Commitments

A Foreign Conversion Table will automatically convert foreign monies to U.S. dollars.

PRINTED FORMS

A multiple copy Printed Order Form, similar to the example in Figure 4, will be produced automatically by the Computer. Two copies of the form will be mailed by the Center directly to the vendor, one copy of which is intended to be returned with the item when the order is filled. The remaining copies will be sent to the library originating the order to be used as needed as a permanemt order record, as a temporary cataloging record, etc.

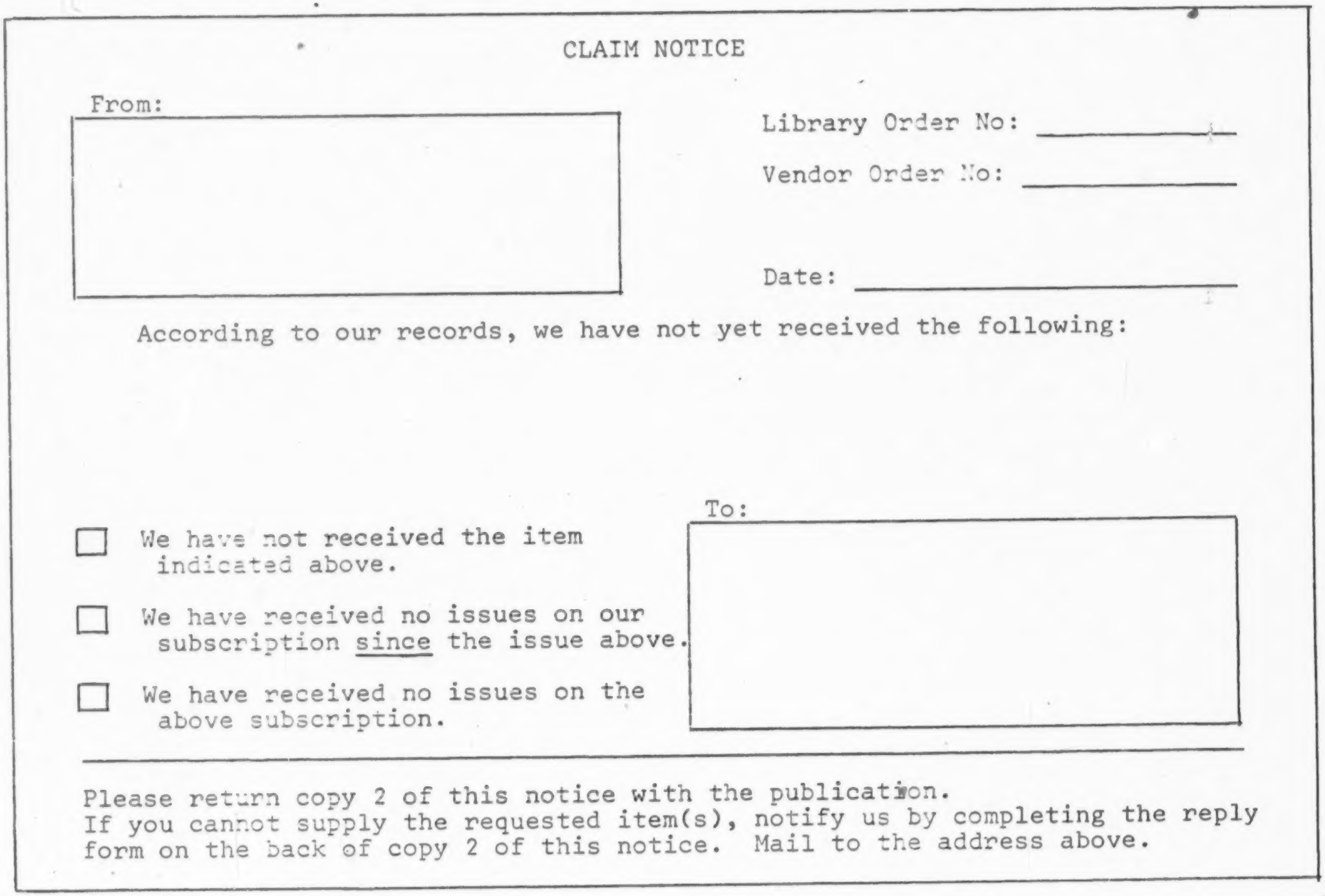
CALL NO.	AUTHOR		(RUSH)
LC CARD NO.	TITLE		
ACCT. NO.	PLACE	PUBL.	YEAR
ORDER NO.	VOLS	EDITION	ISBN
	SERIES		ISSN
LIST PRICE	NO. OF COPIES	LOCATION(S)	
	REQUESTED BY		DEPT.
DATE ORDERED	NEEDED BY		FUND
DATE REC'D	COST	VENDOR	
LIBRARY NAME & ADDRESS			

FIGURE 4 Multiple Order Form

Claim Notices will be produced automatically by the computer according to pre-determined claim cycles. OCLC will establish a claim cycle for each vendor, depending in part upon the geographic location of the vendor. Each member library will decide on the number of claims to be sent for that library. In addition to the automatic claims, it will be possible to initiate claims manually and to suppress the automatic claims if necessary.

Two types of claim notice will be required. The first will be a claim for titles ordered but not received within the specified period of time, the other will be an Invoice Request for an overdue invoice for items received. Examples of the claim notice and the vendor reply form that will be on the back of the claim notice are shown in Figures 5 and 6. The invoice request form is shown in Figure 7.

Requester Notices will be sent to the respective libraries regularly, for distribution to the requesters. Each title, for which the requester has asked to be notified of arrival, will be listed on the notice, as well as the status of the processing of his request.



CLAIM NOTICE

From:

Library Order No: __________

Vendor Order No: __________

Date: __________

According to our records, we have not yet received the following:

To:

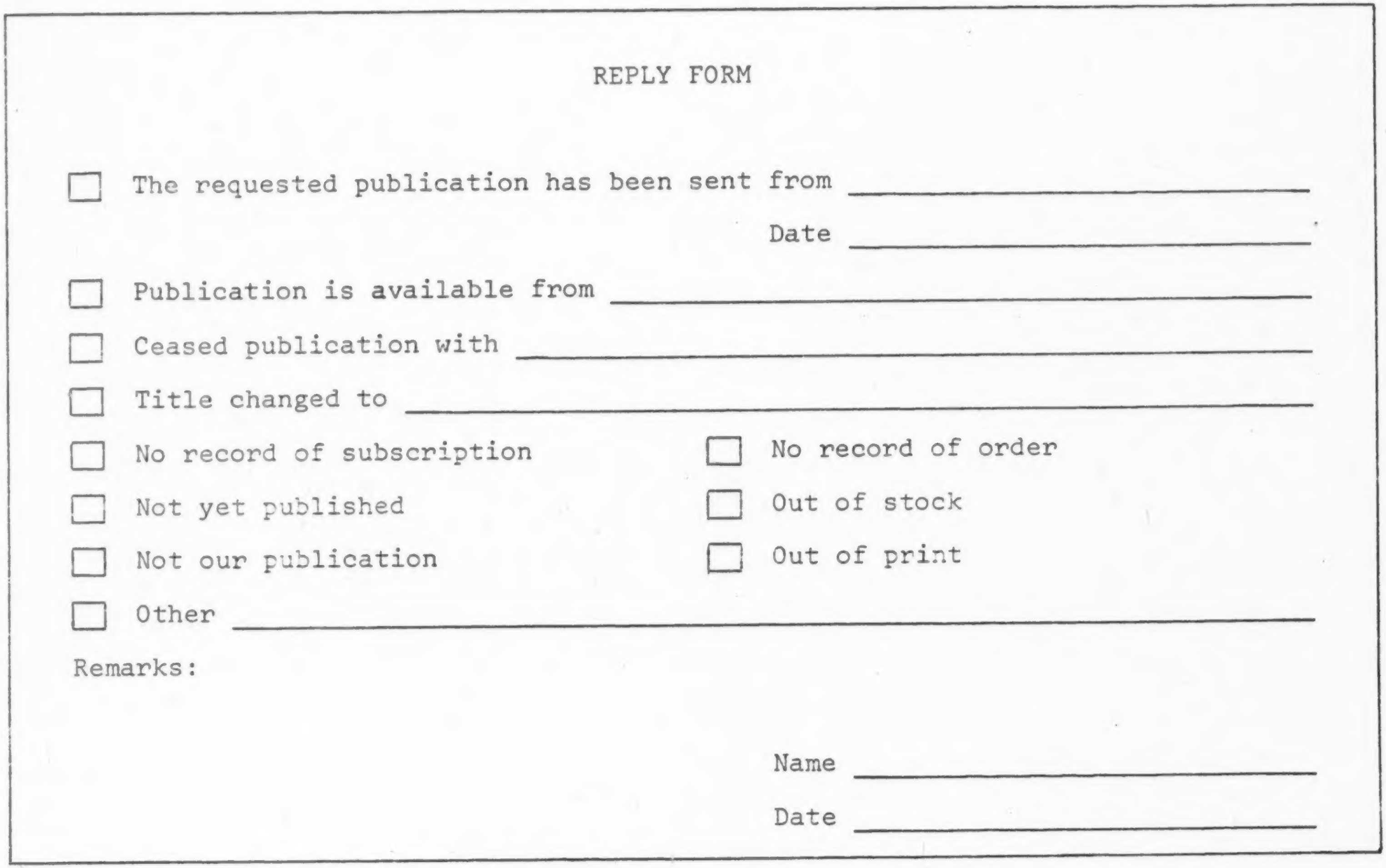
☐ We have not received the item indicated above.

☐ We have received no issues on our subscription since the issue above.

☐ We have received no issues on the above subscription.

Please return copy 2 of this notice with the publication.
If you cannot supply the requested item(s), notify us by completing the reply form on the back of copy 2 of this notice. Mail to the address above.

FIGURE 5 Claim Notice



REPLY FORM

☐ The requested publication has been sent from ______________________

Date ______________________

☐ Publication is available from ______________________

☐ Ceased publication with ______________________

☐ Title changed to ______________________

☐ No record of subscription ☐ No record of order

☐ Not yet published ☐ Out of stock

☐ Not our publication ☐ Out of print

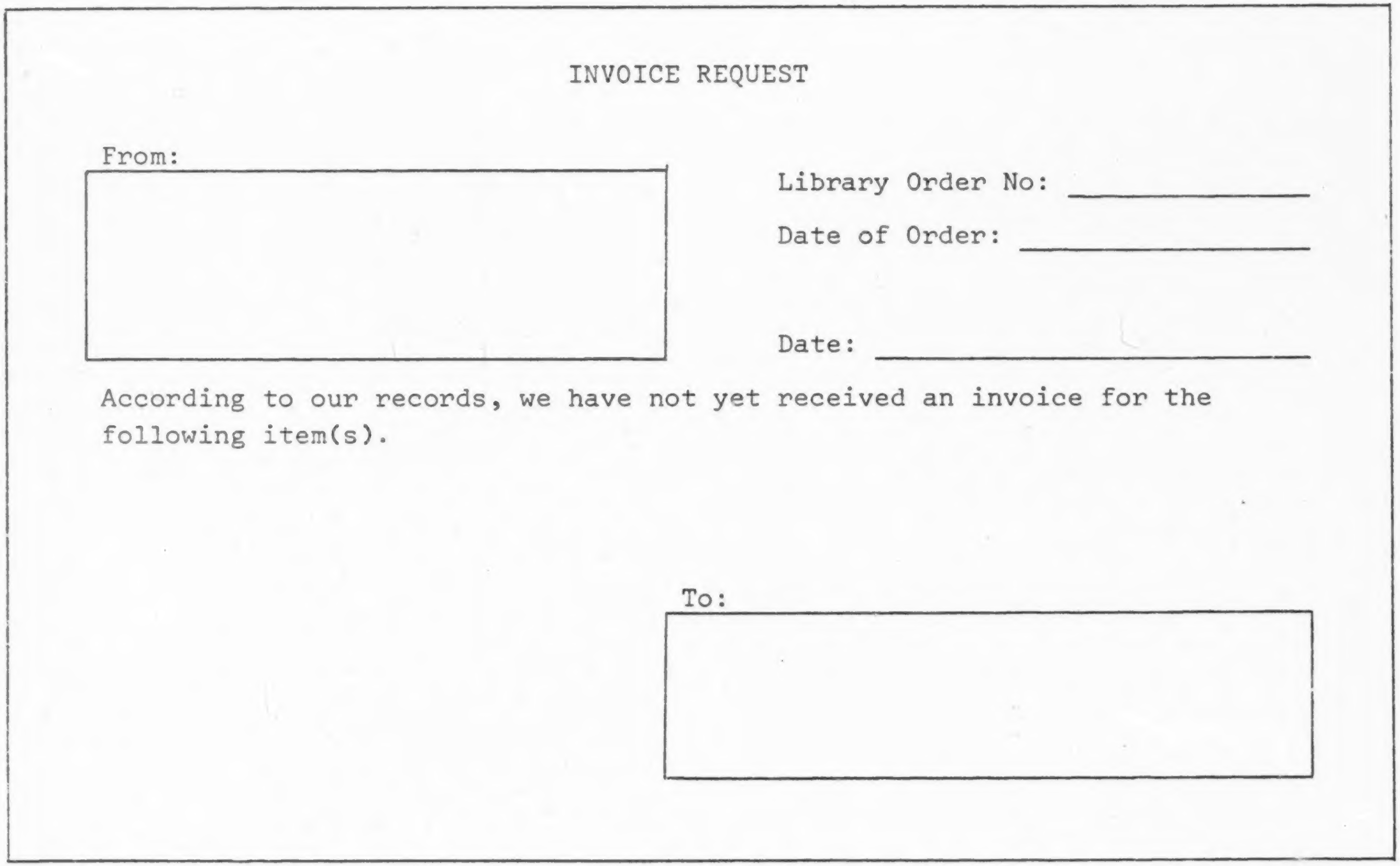
☐ Other ______________________

Remarks:

Name ______________________

Date ______________________

FIGURE 6 Vendor Reply Form (Verso of Copy 2 of Claim Notice)



INVOICE REQUEST

From:

Library Order No: ________________

Date of Order: ________________

Date: ________________

According to our records, we have not yet received an invoice for the following item(s).

To:

FIGURE 7 Invoice Request

STATISTICAL AND OTHER REPORTS

Delayed Processing Reports will be addressed to the supervisors of the various departments to which they apply. A maximum time period will be established for a title to remain in a given processing area before the computer produces a report that completion of the processing for that particular title is overdue.

A List of Books Ready for Requesters will be issued to the circulation departments periodically. The requesters listed will be those who asked for a specific title after another person had already requested it. The first requester will have his original request with the book when it goes to the circulation department. The circulation department will use the list of names as a reserve list for subsequent lending of the book.

Periodically, Reports of Expenditures and Encumbrances will be sent to each library. The time period covered will be specified and the arrangement will be by department or fund or other category defined by the library.

PUNCHED CARDS

When an invoice is approved for payment via the terminal, the computer will produce punched cards for those institutions with automated purchasing departments. The cards will be sent directly from OCLC to the purchasing department of the institution concerned thus eleminating the need to send the invoices for manual keypunching.

GROUP II

The computer products in this group will not be available at the time the system is first implemented.

Graph - Number of Titles in Process

This product will be a line graph on a single sheet of computer paper. Points on the line will represent each week from a given base point. Lines will represent the number of requests in pre-order searching, the number of titles in each of several pre-cataloging check points, the number of titles in cataloging, and the number of titles at the bindery. From this chart it will be possible to tell at a glance whether or not there is an increasing accumulation of materials in any one processing area.

Graph - Activity Statistics

A line graph will contain the number of requests received in a week, number of orders issued, number of titles received, number of titles searched, and number of titles cataloged. As with the previous graph, it will be possible for a manager to tell at a glance any significant change in trends of activity in various processing areas.

Average Cost Per Title

Each week the computer will calculate the average cost per title for all books processed in the system within a pre-determined period of time.

GROUP III

This group is a series of reports that can be supplied by the computer on specific demand. The production of these reports will not be implemented until after the entire system is operational.

Donor and Gift Lists

This product will be a list of gifts received within a specified period of time, arranged under the name of the donor.

Rate of Work Flow

This report will give the average time items remain in each processing location.

List of Titles by Fund

This report will list, under the names of the funds, the titles acquired from each fund within a specified time period.

Number of Titles Cataloged by Subject Classification

This list will provide the number of titles cataloged in each subject classification.

Subject-Vendor File

A list will be compiled by subject classification of the vendors who have supplied books within each subject and the number of titles each vendor supplied.

List of Books Received by Blanket Purchase Order

This report will consist of a listing of blanket purchase orders and the titles of books acquired on each purchase order.

Returned Books - On-Approval and Blanket Orders

This report will yield a count and listing of books returned under each blanket order.

Number of Titles Acquired by Language and by Country

Amount Expended by Order Type and Time of Year

This report will give the amount of money spent after a given date as the result of various types of orders (unitary procurement, blanket orders, standing orders, etc.). The report will also give the total amount of money expended at any time during the fiscal year.

Out-of-Print Want Lists

This report will be a listing of unsatisfied quotation requests in the file.

Request-for-Quotation Follow-up

After a pre-determined time for each vendor, the computer will report to the library that no quotation has been received for the specified out-of-print items.

Time Relationship of Invoice and Book Receipt

The computer will calculate the time elapsed between the receipt of a book and its corresponding invoice from a given vendor.

Titles Received by Vendor

This report will be a listing of the number of titles received from each vendor after a given date.

Amount of Funds Expended by Vendor

Average Time for Individual Vendors to Supply Books

X

THE TECHNICAL PROCESSING SYSTEM -
Ohio College Library Center

Ohio College Library Center
1314 Kinnear Road
Columbus, Ohio 43212
May 1972

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INTRODUCTION

The Technical Processing System in its entirety will consist of an acquisitions system including financial records and a monitor to issue notices to staff when items are delayed in acquisitions, serials, cataloging, or physical processing. The Center will not activate the monitor when TPS is first implemented.

The aim of the Technical Processing System is faster and more accurate processing of materials, reduction in personnel involved in technical processing, accumulation of data into one central record, and reduction of unnecessary duplication of materials among Member libraries.

DESCRIPTION OF THE SYSTEM

The system will initially encompass the following basic operations: 1) creation of the TPS record and production of purchase orders, 2) on-line update of records when material is received and again when it is cataloged, 3) automatic claiming of overdue orders, and 4) production of accounting records.

There will be three major types of processes: 1) unitary procurement, 2) extended procurement, and 3) gifts. Unitary procurement ('u') constitutes the acquisitions and processing of material as the result of an order for a single specific item. Multiple copies of an item, or multiple volumes of a completed set may be construed as unitary procurement. Extended procurement ('e') comprises subscriptions, standing orders, on approval orders, blanket orders, exchanges, and memberships in publications-producing groups. Gifts constitute those accessions that are unpredicted in their arrival and require no payment. They may be either 'unit' gifts ('gu') or 'extended' gifts ('ge'), such as gift subscriptions. In most cases 'exchange' materials will be treated as gifts since they require neither a purchase order nor payment.

Treatment of material received as the result of a membership will be determined by the nature of the publication and internal library policy. For example: if the major publication received through a membership is a serial, it could be treated as a regular subscription with the membership fee construed as the cost of that subscription; ancillary subscriptions or separate works, sent to members at no additional cost, might be treated as gifts. A membership providing primarily non-serial items might be handled as a standing order.

Periodically, the system will be purged of completed TPS records identified as unitary procurement ('u' or 'gu'). The records will be expelled from the system only after the following requisites have been met: 1) the invoice has been approved for payment or the order canceled, and 2) the record has been updated for card production or retired to the archive file by the library.

Records identified as extended procurement ('e' or 'ge') will remain in the system until the order is canceled and the record retired by the library.

Cancellation of an order will be accomplished by typing 'canc' onto the screen following the purchase order number, then UPDATE and SEND, if the cancellation is vendor-originated, or PRODUCE and SEND, if the library originates the cancellation. In response to PRODUCE and SEND, the computer will print a cancellation notice to be mailed to the vendor.

The system will maintain a Vendor File designed to include as many addresses as required for each vendor to facilitate ordering, claiming, and making payment. Commonly used vendors will be identified by mnemonic codes to limit typing and to reduce confusion between vendors with similar names. Print-out copies of the Vendor File will be distributed to Member libraries for reference.

The system will yield four varieties of products: 1) on-line CRT screen displays, 2) printed forms, 3) computer print-outs, and 4) punched card reports.

The products and procedures described herein will be operational at the time the Technical Processing System is implemented. Other products, to be added following implementation, have been enumerated on pages 42 to 45.

ON-LINE SCREEN DISPLAYS

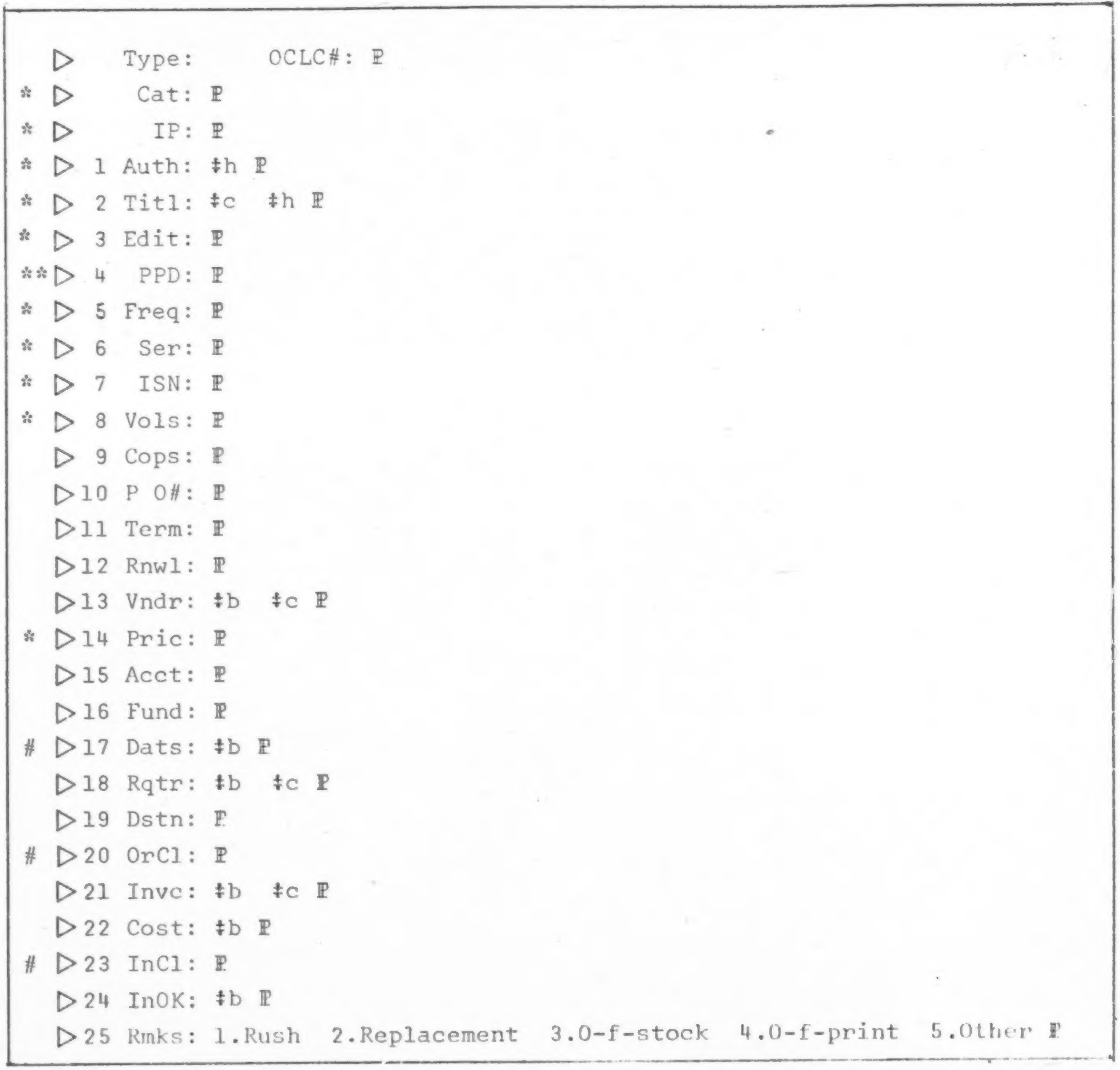
There will be a separate screen display for each 'on order' title, each gift title, and each on approval or blanket order plan. Each record will include data relative to the processing of that order.

A TPS record will be retrievable by the purchase order number, the OCLC control number, and by author-title and title search keys. The computer will maintain indexes required to access the records and the specific data within a record needed for reports and listings.

The Fund Commitment Register will also be displayed on the CRT screen and will be accessed by the fund number. The register will be current according to the latest data transmitted to the computer.

Another screen display has been designed for inputing Account and Fund allocations.

The screen displays are illustrated in Figure 1, page 5, Figure 11, page 39, and Figure 13, page 41.



```
  ▷    Type:     OCLC#: ℙ
* ▷     Cat: ℙ
* ▷      IP: ℙ
* ▷  1 Auth: ‡h ℙ
* ▷  2 Titl: ‡c  ‡h ℙ
* ▷  3 Edit: ℙ
**▷  4  PPD: ℙ
* ▷  5 Freq: ℙ
* ▷  6  Ser: ℙ
* ▷  7  ISN: ℙ
* ▷  8 Vols: ℙ
  ▷  9 Cops: ℙ
  ▷10 P O#: ℙ
  ▷11 Term: ℙ
  ▷12 Rnwl: ℙ
  ▷13 Vndr: ‡b  ‡c ℙ
* ▷14 Pric: ℙ
  ▷15 Acct: ℙ
  ▷16 Fund: ℙ
# ▷17 Dats: ‡b ℙ
  ▷18 Rqtr: ‡b  ‡c ℙ
  ▷19 Dstn: ℙ
# ▷20 OrCl: ℙ
  ▷21 Invc: ‡b  ‡c ℙ
  ▷22 Cost: ‡b ℙ
# ▷23 InCl: ℙ
  ▷24 InOK: ‡b ℙ
  ▷25 Rmks: 1.Rush  2.Replacement  3.O-f-stock  4.O-f-print  5.Other ℙ
```

* Those items supplied automatically from a Catalog record or other TPS record.

** Those items which, if changed, constitute a new record.

# Data that is computer-produced (except 17 ‡b).

The symbols defined above are not part of the screen display.

FIGURE 1 Screen Display for Technical Processing

Following is a field by field description of the Screen Display for Technical Processing:

Type: Type of acquisition. The following codes will apply:
- u - unitary procurement
- e - extended procurement
- gu - unit gift
- ge - extended gift (subscription)

Cat: Symbols for libraries having the cataloged title.

IP: Symbols for libraries having the title in-process.

1 Auth: Author, verified if possible, with the source of authority identified in subfield 'h'.

2 Titl: Title, verified if possible, with the source of authority identified in subfield 'h'.

3 Edit: Edition. Unless a specific edition is entered, the purchase order will specify 'latest edition'.

4 PPD: Place; publisher; date of publication.

5 Freq: Frequency of publication, for subscriptions and standing orders.

6 Ser: Series.

7 ISN: International standard number, book or serial.

8 Vols: Specific volume numbers (v.3, v.7) or the total volumes (8v.) if the order is for an entire set.

9 Cops: Number of copies requested on one purchase order.

10 P O#: Purchase order number. If a library uses only one range of sequential purchase order numbers, the number can be assigned automatically by the computer.

11 Term: Length of subscription or contract.

12 Rnwl: Renewal. If no information is recorded in this field, renewal will be automatic until canceled.

13 Vndr: Vendor. Enter vendor's code name. Subfield 'b' will be used for a vendor account number and subfield 'c' will be used for a vendor contract number.

14 Pric: Enter the unit price unless several volumes of a work are being ordered on a single purchase order, in which case record the total price for all volumes ordered on one P.O. The amount encumbered will be the recorded price multiplied by the number of copies requested on the same P.O.

15 Acct: If the entire cost of an item is charged against a single account, only the account number need be entered in field 15. However, if the cost is divided between two or more accounts, each account must be input in an 'a' subfield (the first 'a' subfield code is implicit) followed by a 'b' subfield containing the amount charged agaist that account. (e.g., Acct: 574362 ‡b $100.00 ‡a 967843 ‡b $45.50)

16 Fund: Same as above except for fund.

17 Dats: Date of the order will be supplied automatically by the computer. The date of receipt of the material ordered will be entered in the 'b' subfield.

18 Rqtr: The name of the individual who requested the item. If more than one person is responsible for originating a request and each is to be notified when the material becomes available, the second name will be entered in a 'b' subfield. More than one 'b' subfield may be used if required. The 'c' subfield will be reserved for the name of the donor of a gift.

19 Dstn: Destination. The department or branch library where the material is to be shelved after processing.

20 OrCl: Order claimed. When the system automatically produces a claim notice, the date of the claim will display in this field. If more than one claim is sent, the date of each will appear.

21 Invc: The invoice number will be input when the invoice is recieved. If the invoice is held for any reason, that information will be entered in subfield 'b'. Credit information will be reoorded in subfield 'c'.

22 Cost: The actual cost of an item. If postage is funded separately, the amount of postage will be recorded in subfield 'b'.

23 InCl: Invoice claimed. If an invoice has not been received within a specified period following receipt of the material, an automatic claim will be generated and the date of the claim will be displayed.

24 InOK: When an invoice is approved for payment, the date will be recorded in field 24.

25 Rmks: Remarks are intended for internal use only and will not print on the purchase order. To indicate the application of any of the four specified remarks, replace the number preceding the appropriate remark with an 'x'. 'Other' remarks will have to be typed onto the screen in full.

UNITARY PROCUREMENT

When a request is received by a library acquisitions department, it will first be searched via the terminal and elsewhere to determine whether or not the title is already in the library or currently on order. Until a library has completed retrospective conversion of its holdings to the system, it will be necessary to search the card catalog as well as the data base. A search of the outstanding order file may also be required until all orders placed through the manual system have been filled. If the title is already in the local library, the request will be returned to the requester unless it is desirable to purchase a duplicate.

After the decision has been made to purchase an item and the fund designation and vendor have been assigned, the CRT operator, logged into the TPS mode, will type the author-title or title search key. If the work is in the system, either as a Catalog record or as a TPS record, the usable data will be displayed on a TPS workform. (See page 5) 'Usable' data includes any or all of the following elements: author, title, edition, place, publisher, date of publication, frequency of issue, series, standard book or serial number, number of volumes of a set, and the list price.

The data displayed should be carefully examined and edited where necessary to agree in detail with the work desired. Changes will be made by inserting additional information, or by deleting or typing over existing information.[1] After making any change in a field, depress the ADVANCE LINE and SEND keys to communicate the change to the computer.

When the existing data is satisfactory, the operator will proceed to enter the data in the other fields required for the production of the purchase order, then SEND each field until the entire order is completed.

If no record is displayed in response to either the author-title or title search key, the operator will request a workform by keying in 'wf', and proceed to enter and SEND all pertinent data, field by field, until the order is completed, then depress PRODUCE and SEND. In response to the PRODUCE command, a multiple copy purchase order will be produced, two copies of which will be sent to the specified vendor and the remaining copies to the requesting library.

When there is no record in the data base for a title being ordered, the source(s) used to verify the author and title should be entered in subfield 'h' of the respective fields.

The flowchart on the following pages delineates the activity involved in unitary procurement.

---

[1] For details on the operation of the CRT terminal, refer to: Cataloging on a Cathode Ray Tube Terminal, Ohio College Library Center, June 1971, pp. 11-23.

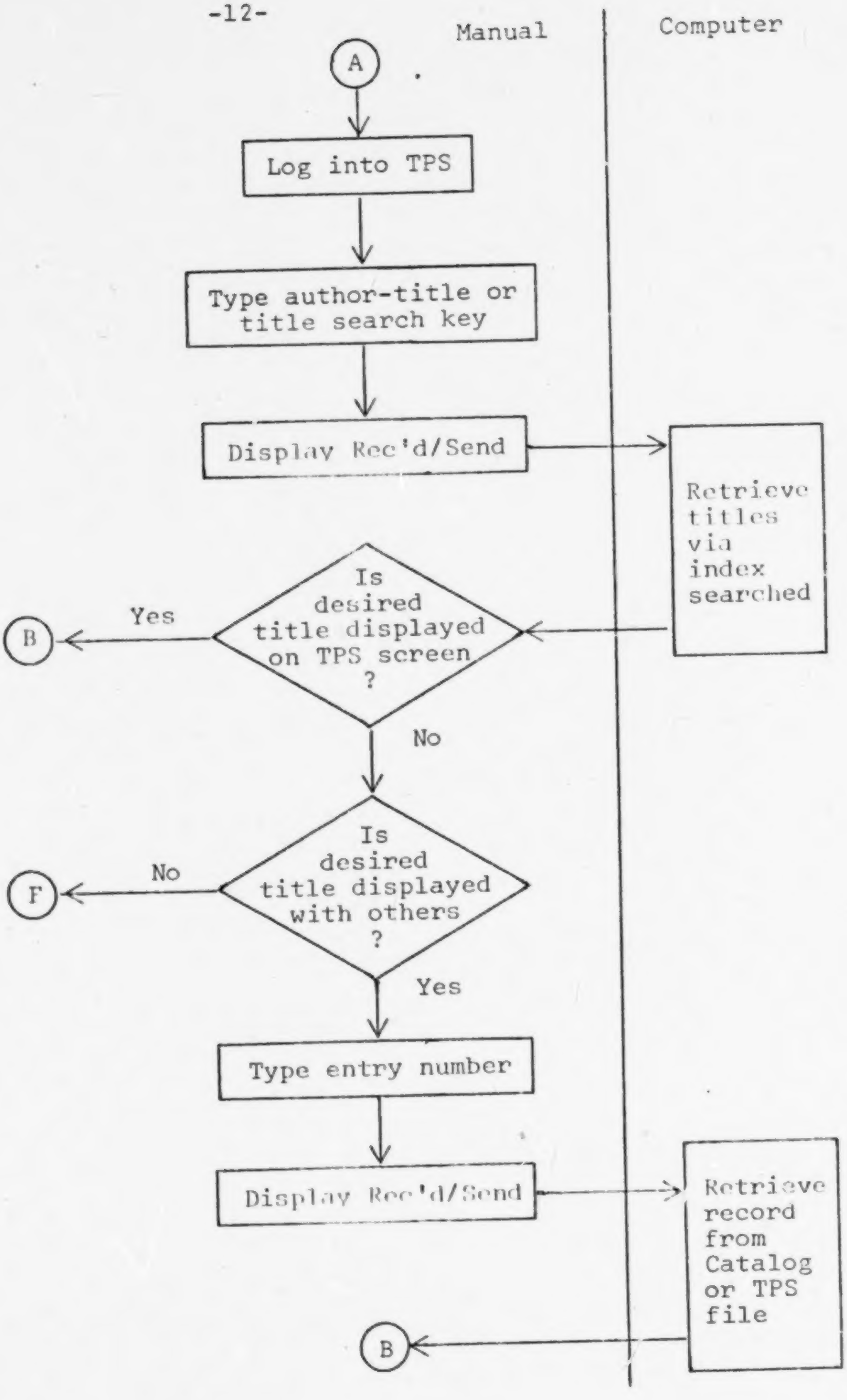

Manual
Computer
A
Log into TPS
Type author-title or title search key
Display Rec'd/Send
Retrieve titles via index searched
Is desired title displayed on TPS screen ?
Yes
B
No
Is desired title displayed with others ?
No
F
Yes
Type entry number
Display Rec'd/Send
Retrieve record from Catalog or TPS file
B

FIGURE 2 Flowchart for Unitary Procurement

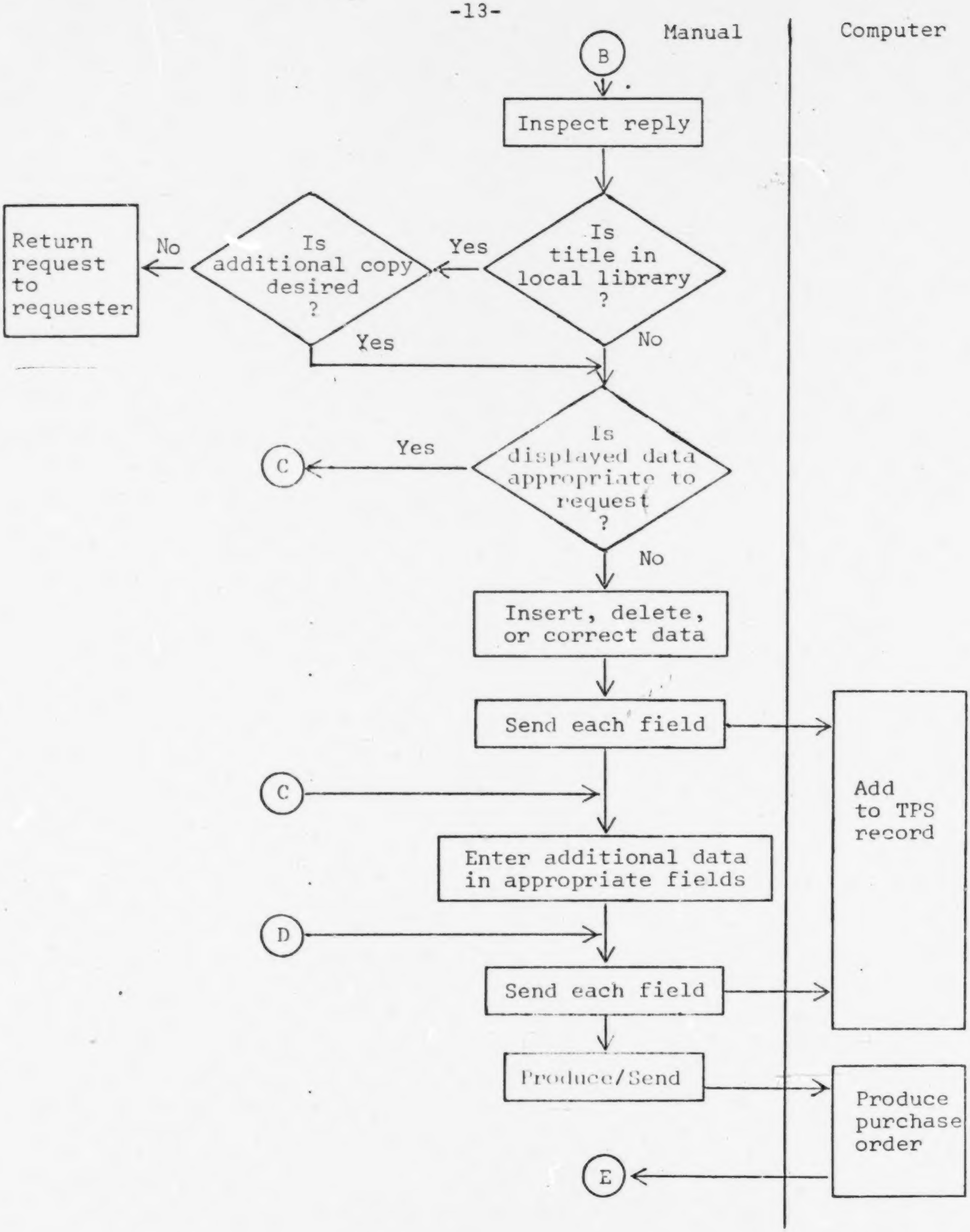

Manual
Computer
B
Inspect reply
Is title in local library ?
Yes
No
Is additional copy desired ?
No
Yes
Return request to requester
Is displayed data appropriate to request ?
Yes
C
No
Insert, delete, or correct data
Send each field
Add to TPS record
C
Enter additional data in appropriate fields
D
Send each field
Produce/Send
Produce purchase order
E

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

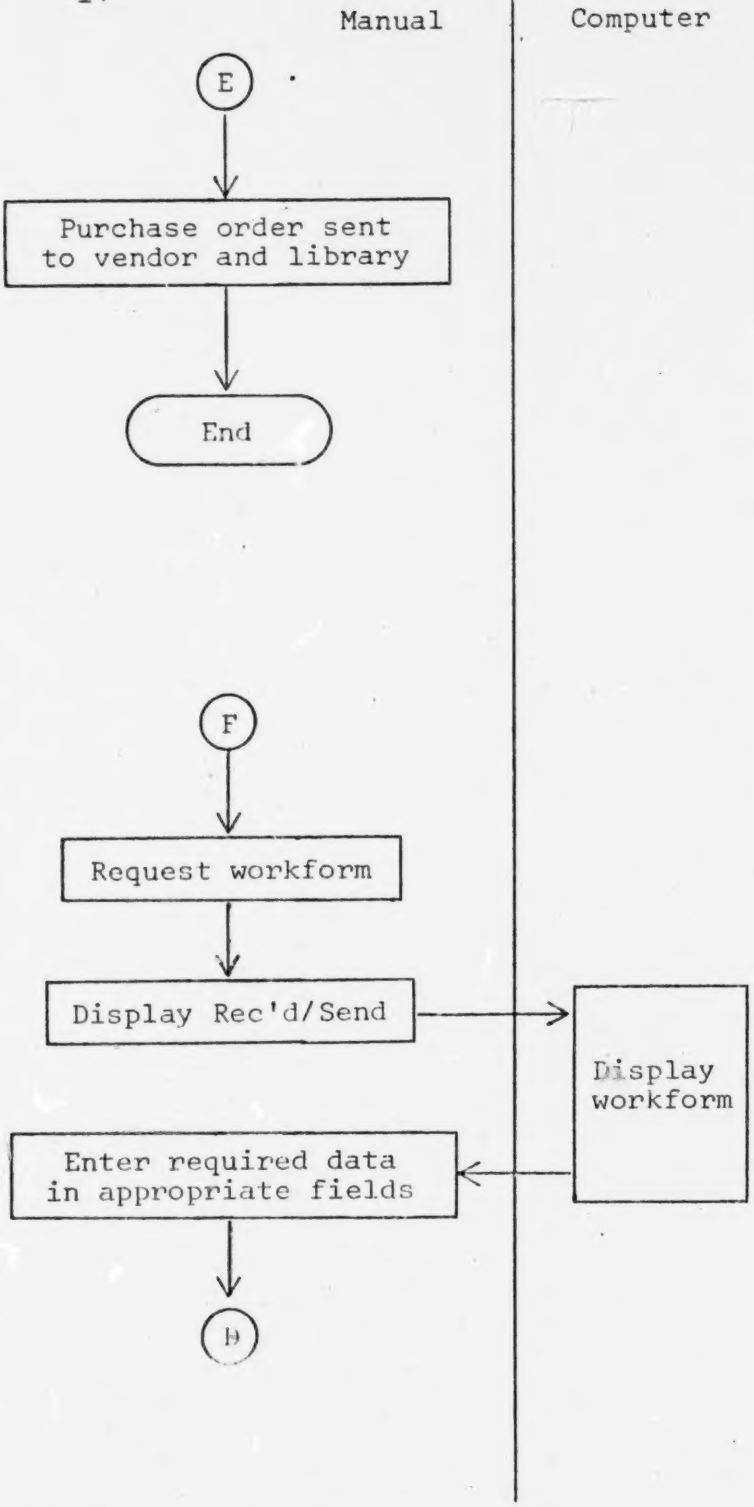

Manual
Computer
E
Purchase order sent to vendor and library
End
F
Request workform
Display Rec'd/Send
Display workform
Enter required data in appropriate fields
D

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

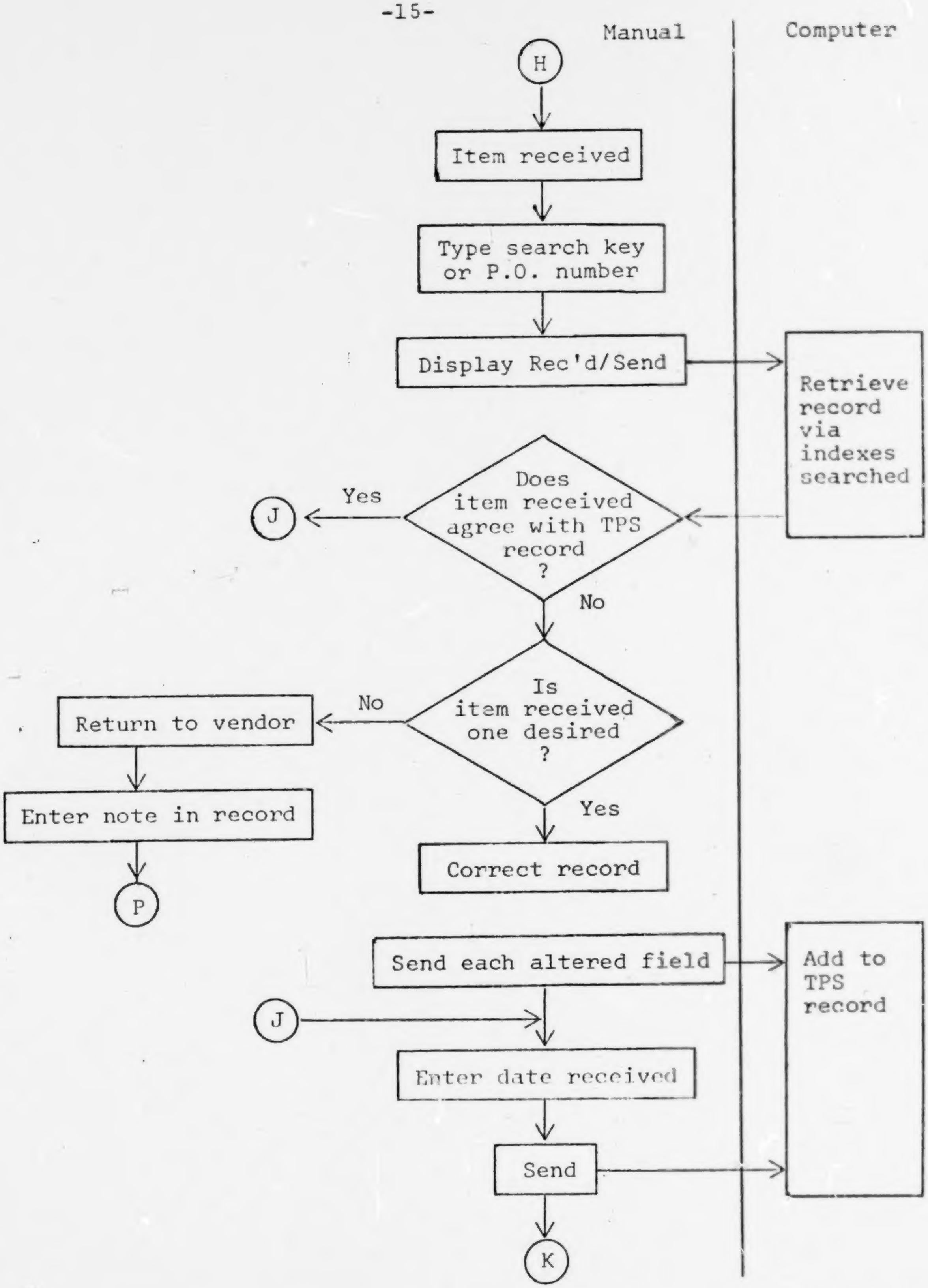

Manual
Computer
H
Item received
Type search key or P.O. number
Display Rec'd/Send
Retrieve record via indexes searched
Does item received agree with TPS record ?
Yes
J
No
Is item received one desired ?
No
Return to vendor
Enter note in record
P
Yes
Correct record
Send each altered field
Add to TPS record
J
Enter date received
Send
K

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

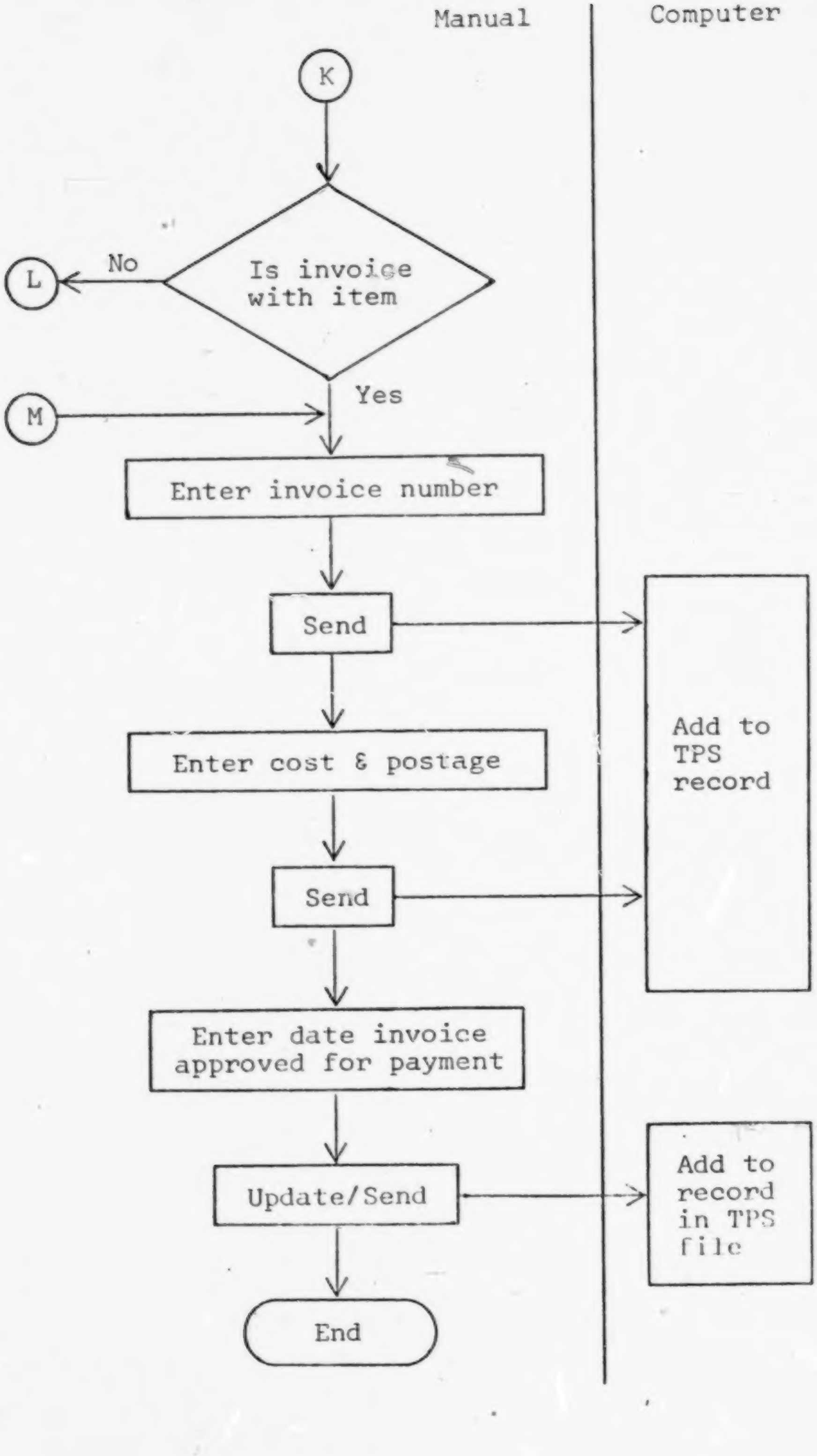

Manual
Computer
K
Is invoice with item
No
L
Yes
M
Enter invoice number
Send
Enter cost & postage
Send
Add to TPS record
Enter date invoice approved for payment
Update/Send
Add to record in TPS file
End

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

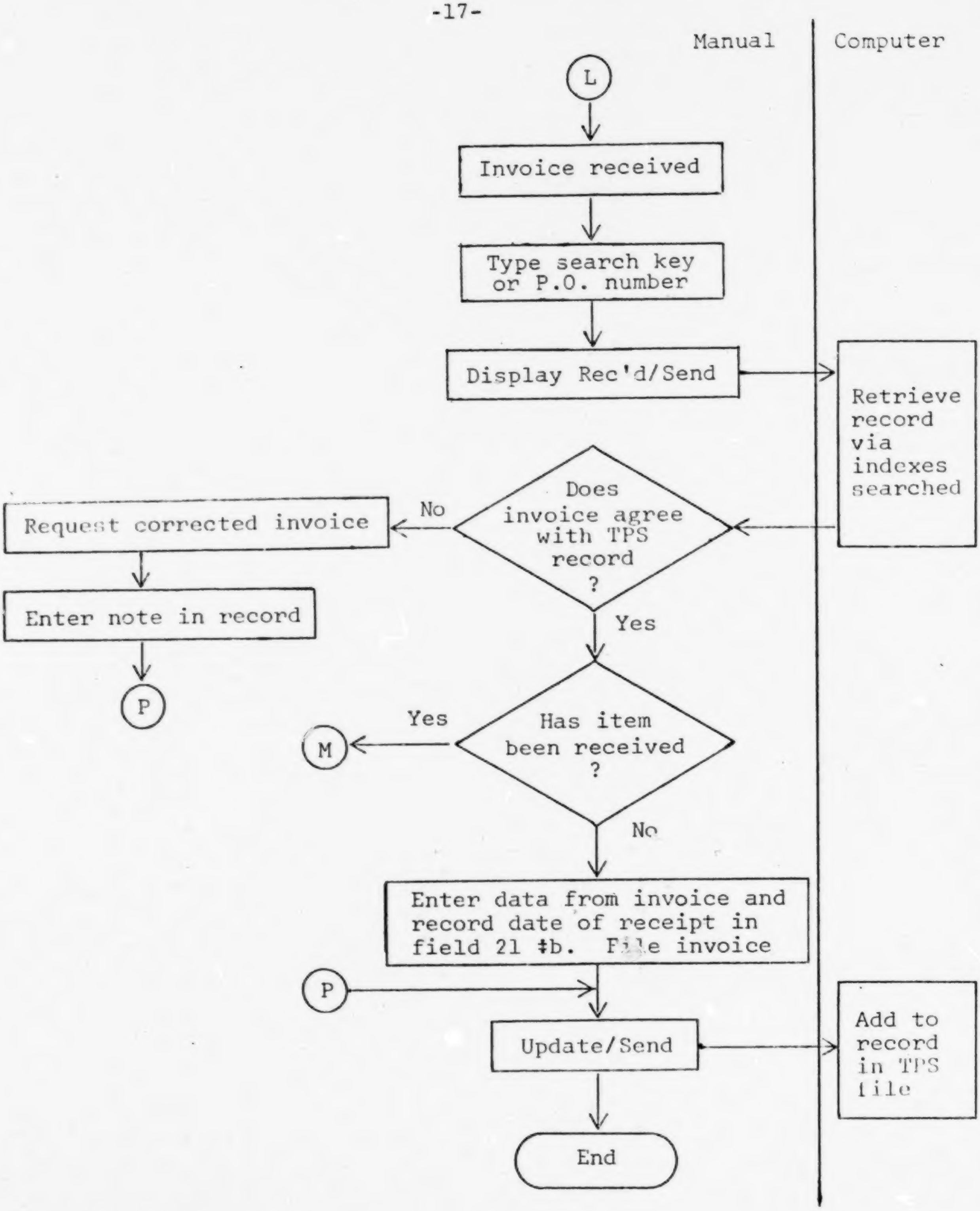

Manual
Computer
L
Invoice received
Type search key or P.O. number
Display Rec'd/Send
Retrieve record via indexes searched
Does invoice agree with TPS record ?
No
Request corrected invoice
Enter note in record
P
Yes
Has item been received ?
Yes
M
No
Enter data from invoice and record date of receipt in field 21 ‡b. File invoice
P
Update/Send
Add to record in TPS file
End

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

EXTENDED PROCUREMENT

Since the terms identifying the various types of extended procurement are often used interchangeably, definitions of the terms as applied in this document are given below.

Subscription: an order for a continuing publication that is received more or less regularly, usually more than once a year, and paid for in advance of fulfillment.

Continuation: an order for individual parts of a series or set to be supplied as published without a purchase order being issued for each part. Payment is usually made upon receipt of an item.

Standing order: an order for all of the forthcoming publications of a publisher of specialized materials, such as an association, a school, or a museum, etc. Payment is subsequent to delivery of the material.

On approval plan: an order for materials to be supplied by a vendor according to the delimitations and specifications of the library. These materials are subject to review and return by the library. Payment follows receipt and acceptance of the material.

Blanket order: an order for special materials, to be selected according to the qualifications outlined by the library, by a vendor acting as the library's agent. Returns are usually not acceptable. Payment is subsequent to receipt of the material.

Figure 3, beginning on page 23, illustrates in flowchart form the 'extended procurement' procedures for standing orders, on approval orders, and blanket orders.

Subscriptions

The order procedure for a 'new' subscription will be virtually the same as described for unitary procurement. Certain data, not applicable to unitary procurement, will be needed for a subscription order: namely, frequency of issue, length or term of subscription, and renewal information. Depending upon the policy of the library (and the vendor), a renewal may be issued automatically by the system prior to the expiration date, or the vendor may renew automatically until he receives a notice to cancel.

After receipt of the first issue has been acknowledged through TPS, to satisfy the system that no claim is required, subsequent issues will be checked-in and claimed through the Serials Control System.

The TPS record will remain in the system for renewing and accounting transactions.

Continuations

Again, the order procedure described for unitary procurement will apply for a 'new' continuation order with the following exception. If the order is for a monographic series, the series (main entry and title or title only) will be entered in fields 1 and 2 as author and title rather than in field 6 as series.

If the individual parts received on a continuation order bear some kind of sequential numbering identification, each item will be checked-in and/or claimed through the Serials Control System as a 'serial'. However if the separate volumes are identified by individual titles, each title will be searched through the system after the invoice number, the cost, and the date of invoice approval have been entered on the parent continuation record.

If the title is in the data base, the record will be displayed on the TPS screen. Then if necessary, the operator will edit the data to agree with the item received and enter only the additional information required by the local library. If the title is not in the system, the operator will enter the minimum data required to identify the item accurately and adequately and send each field that is altered or added. UPDATE and SEND will add the record to the TPS file. No purchase order will be produced. The cost should not be entered since it will be included on the parent record.

Standing Orders, On Approval Orders & Blanket Orders

When entering standing, on approval, and blanket orders, no preliminary search of the data base is necessary. The operator will request a workform, indicate the type of acquisition, input the vendor code and the name of the order plan in fields 1 and 2 respectively, and fill in the other appropriate fields, beginning with field 10 on the TPS screen.

After each field has been sent, UPDATE and SEND will add the record to the TPS file.

When materials are received through any of these plans, each title will be searched via the CRT and other files to ascertain 1) if the title is already in the library, 2) if the title is in-process or on order, or 3) if the title is in the system. Duplicates received as part of an on approval shipment may be set aside for a decision to keep or return.

If a title is in the system, the data will be displayed on the TPS screen. If necessary the operator will edit the data to agree with the item received, enter the additional data required by the local library, and send each field that is altered or added, then depress UPDATE and SEND. No purchase order will be produced. The cost should not be entered since it will be included on the parent record.

If the title is not in the system, the operator will enter the minimum data required by the local library

The parent order record will be retrievable by the vendor code or the purchase order number. When shipment is received, depending on the local library practice, the total amount of the invoice minus the cost of those items to be returned will be entered and the invoice approved for payment, or the current date will be entered in field 21, ‡b, to indicate that the invoice is being held and the invoice will be set aside until the vendor issues a credit for the items returned.

GIFTS

The same procedures described under unitary procurement and under subscriptions and continuations will apply for gifts, depending upon the nature of the gift. Since no purchase order is required for 'gift' acquisitions, UPDATE will always by used instead of PRODUCE to add the record to the TPS file.

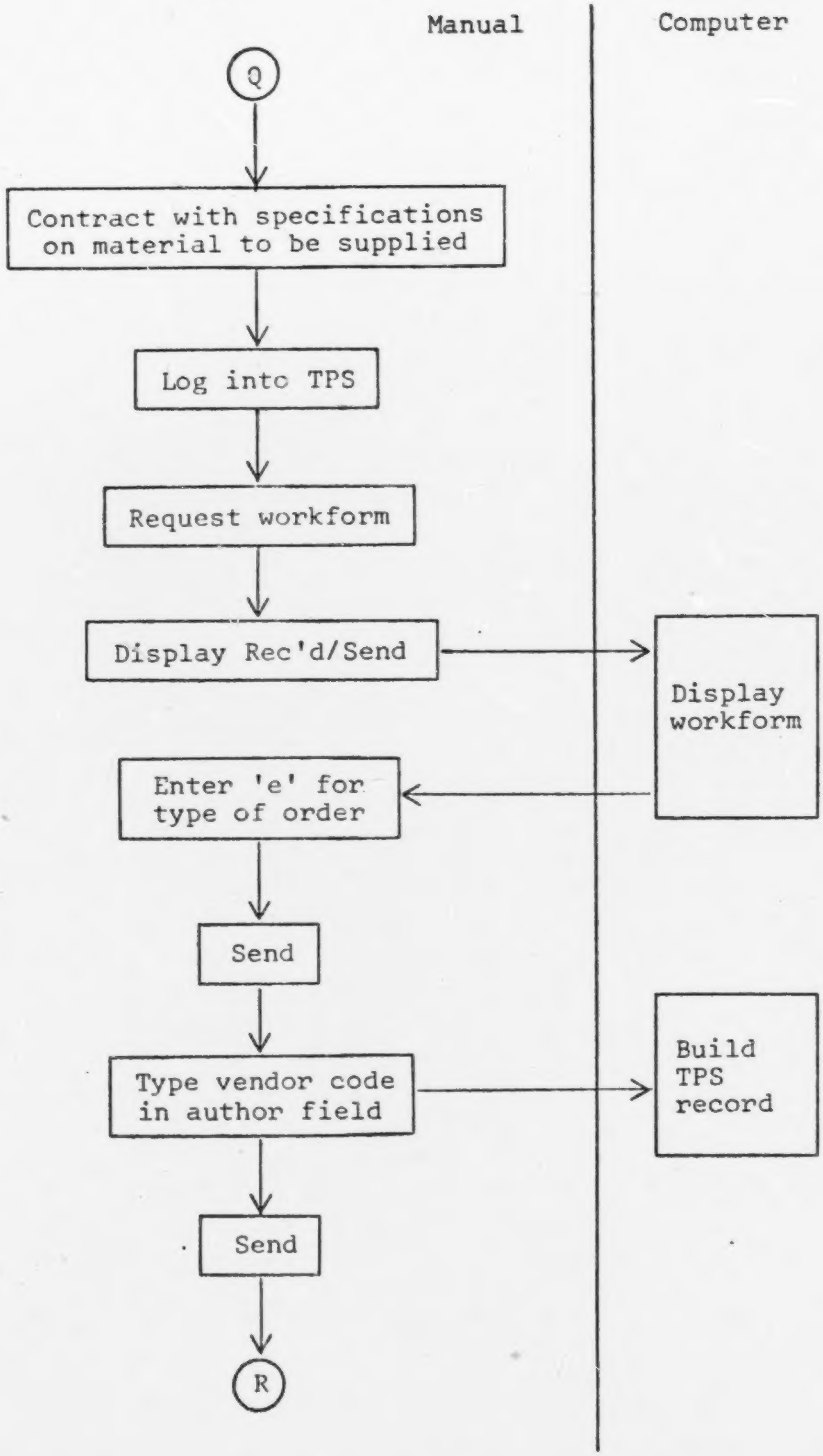

Manual
Computer
Q
Contract with specifications on material to be supplied
Log into TPS
Request workform
Display Rec'd/Send
Display workform
Enter 'e' for type of order
Send
Type vendor code in author field
Build TPS record
Send
R

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders

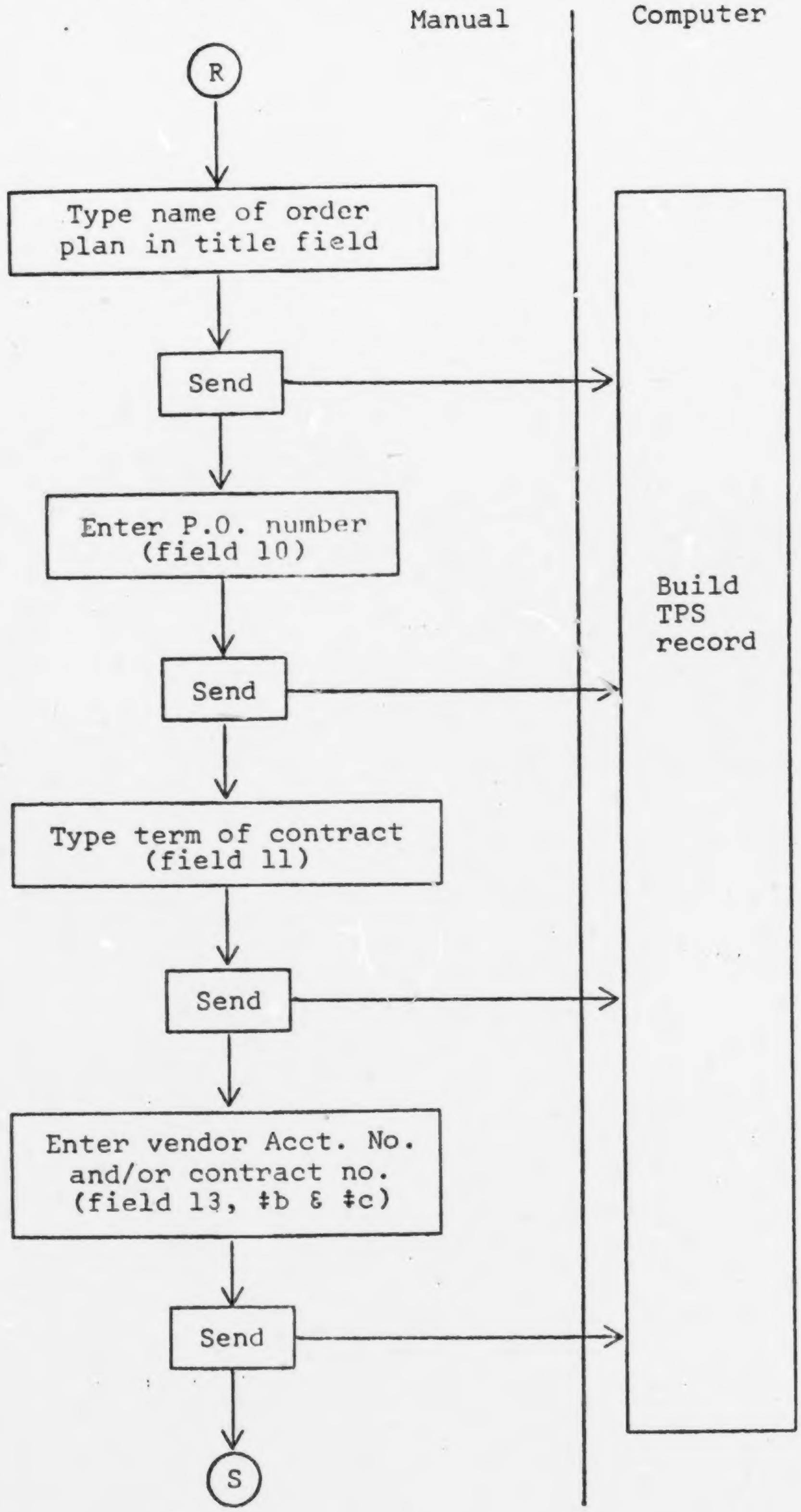

Manual
Computer
R
Type name of order plan in title field
Send
Enter P.O. number (field 10)
Send
Type term of contract (field 11)
Send
Enter vendor Acct. No. and/or contract no. (field 13, ‡b & ‡c)
Send
S
Build TPS record

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

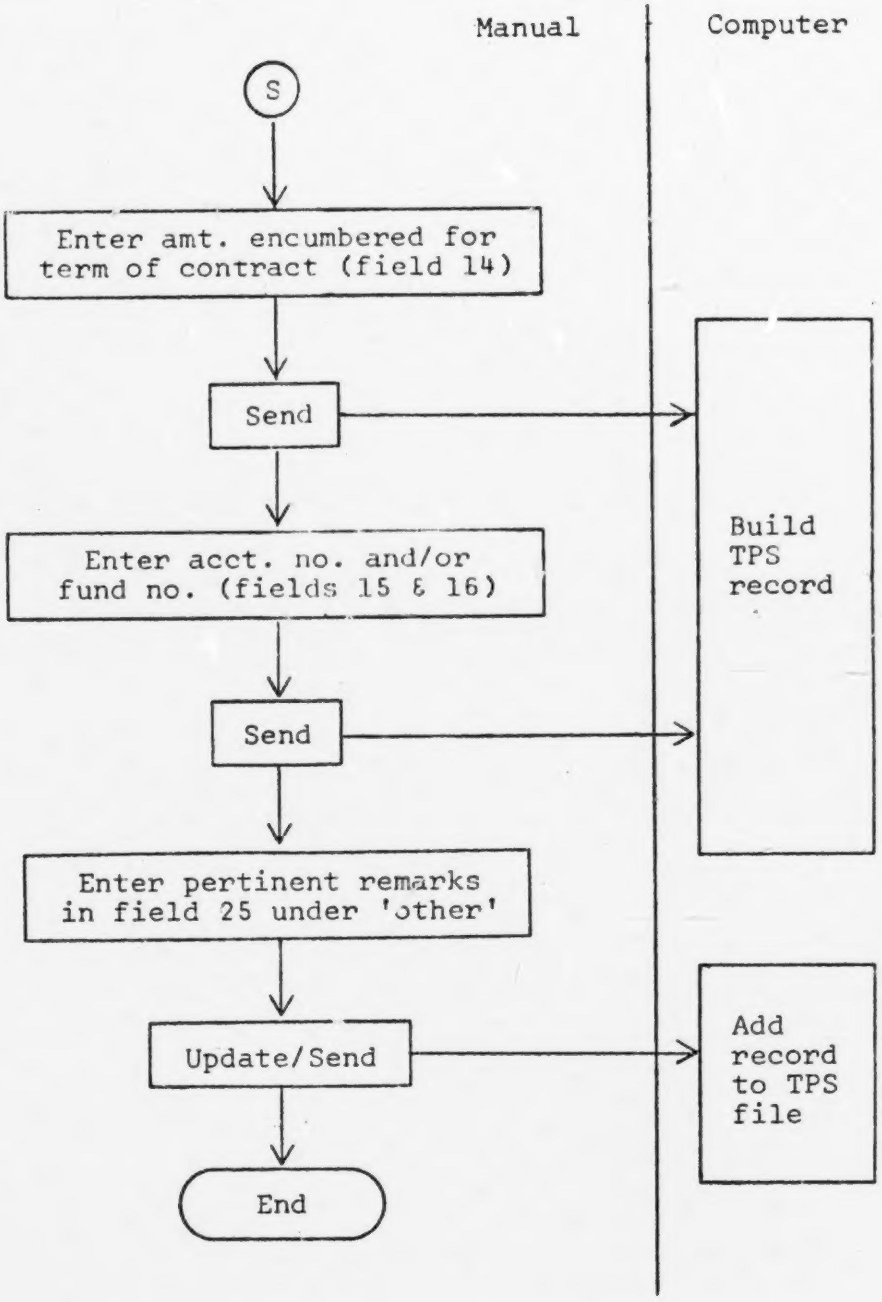

Manual
Computer
S
Enter amt. encumbered for term of contract (field 14)
Send
Build TPS record
Enter acct. no. and/or fund no. (fields 15 & 16)
Send
Enter pertinent remarks in field 25 under 'other'
Update/Send
Add record to TPS file
End

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

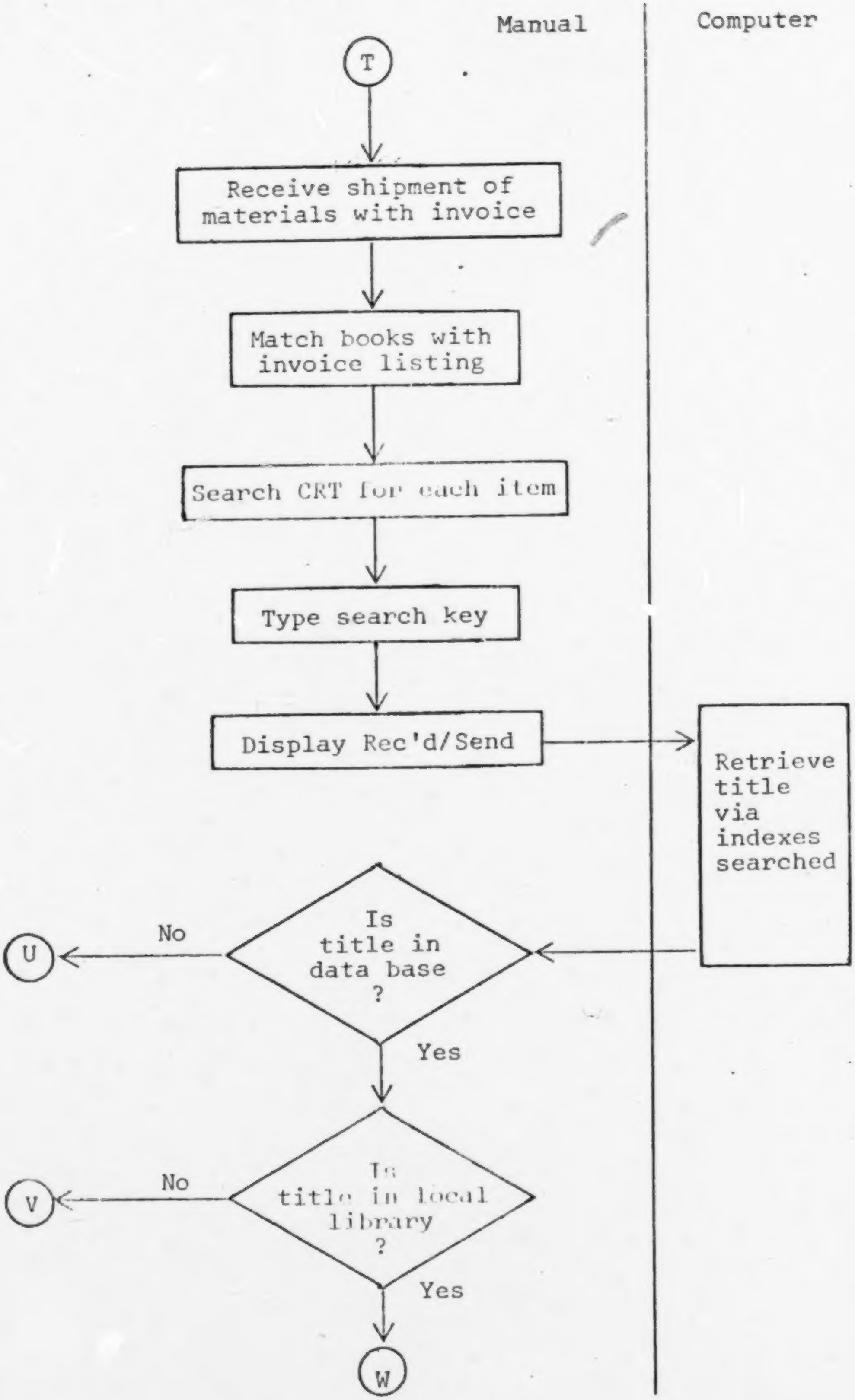

Manual
Computer
T
Receive shipment of materials with invoice
Match books with invoice listing
Search CRT for each item
Type search key
Display Rec'd/Send
Retrieve title via indexes searched
Is title in data base ?
No
U
Yes
Is title in local library ?
No
V
Yes
W

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

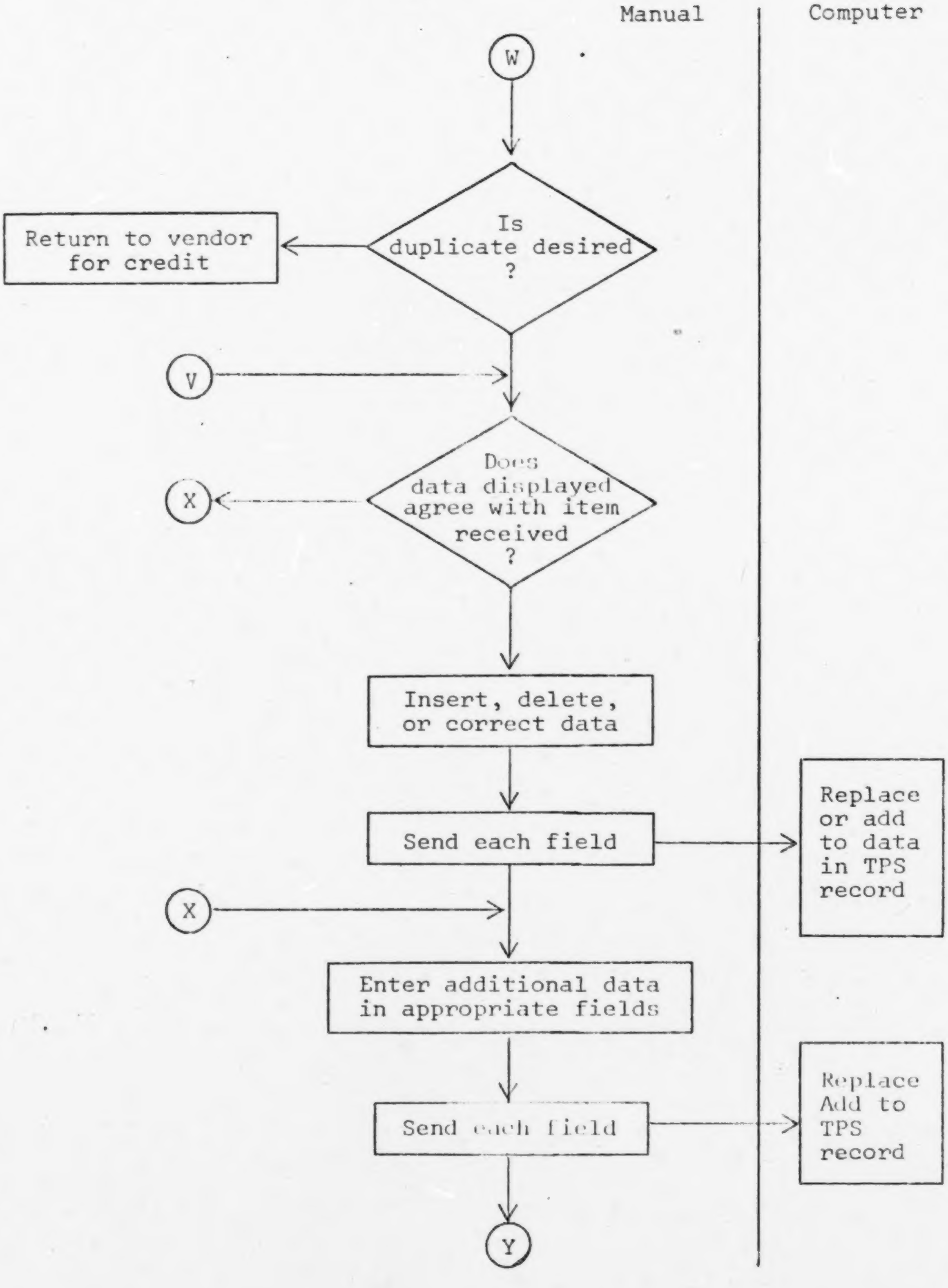

Manual
Computer
W
Is duplicate desired ?
Return to vendor for credit
V
Does data displayed agree with item received ?
X
Insert, delete, or correct data
Send each field
Replace or add to data in TPS record
X
Enter additional data in appropriate fields
Send each field
Replace Add to TPS record
Y

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

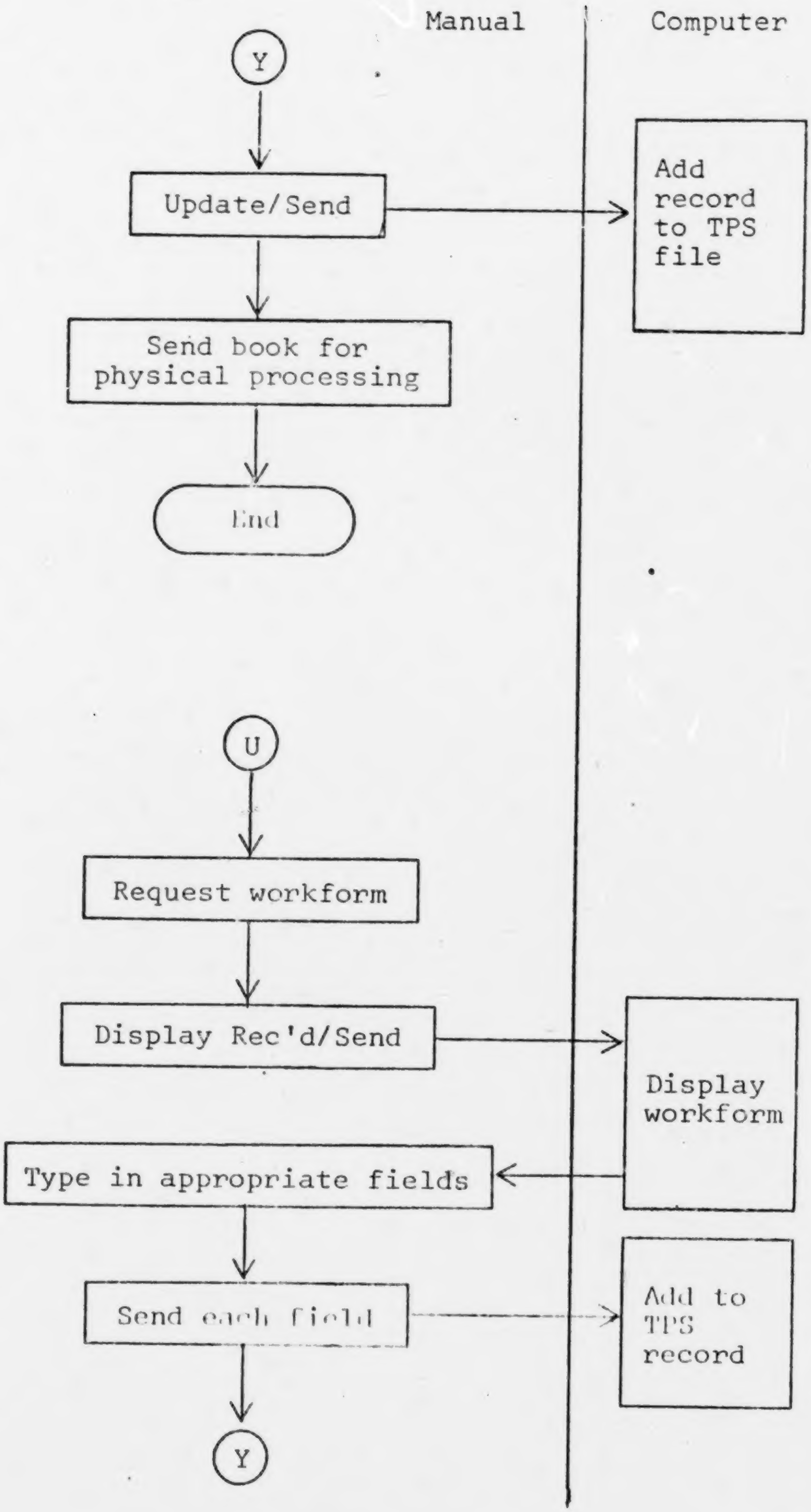
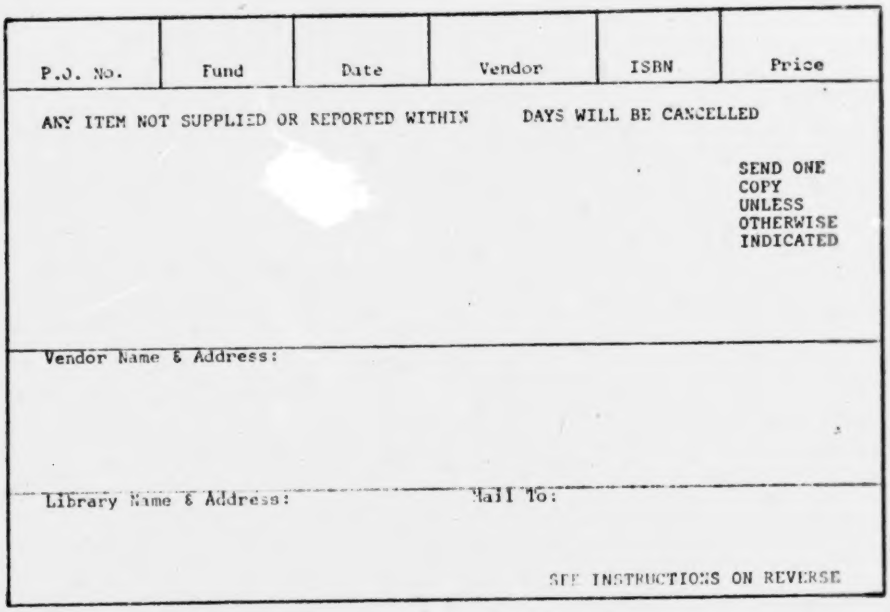

Manual
Computer
Y
Update/Send
Add record to TPS file
Send book for physical processing
End
U
Request workform
Display Rec'd/Send
Display workform
Type in appropriate fields
Send each field
Add to TPS record
Y

FIGURE 3 Flowchart for Extended Procurement; Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

PURCHASE ORDER FORM

A quadruple-copy printed order form, similar to the example in Figure 4, will be produced automatically by the computer. Two copies of the form will be mailed by the Center directly to the vendor. Instructions will be printed on the back of one copy (Figure 5) and the other is intended to be returned with the order. The remaining copies will be sent to the library originating the order, to be used as needed.



P.O. No.	Fund	Date	Vendor	ISBN	Price

ANY ITEM NOT SUPPLIED OR REPORTED WITHIN DAYS WILL BE CANCELLED

SEND ONE
COPY
UNLESS
OTHERWISE
INDICATED

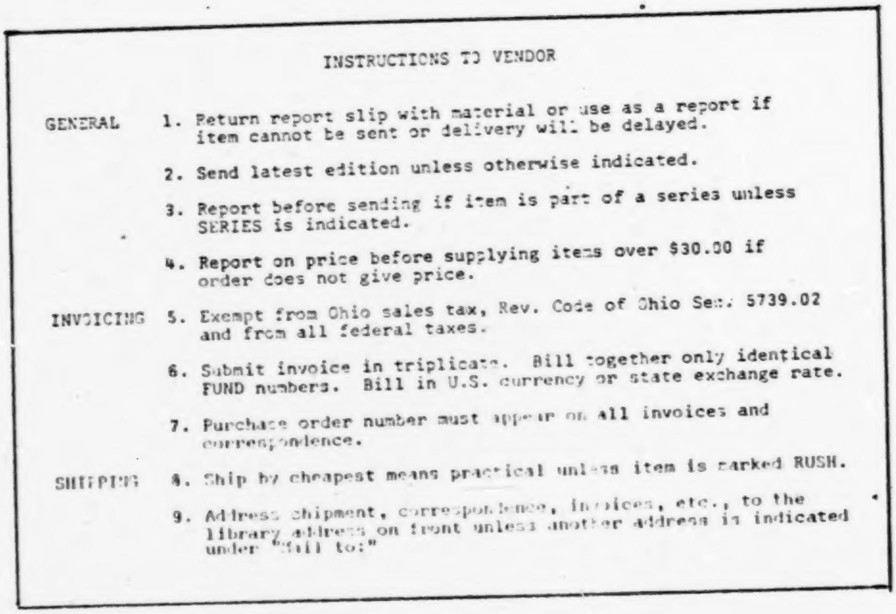
Vendor Name & Address:

Library Name & Address:

Mail To:

SEE INSTRUCTIONS ON REVERSE

FIGURE 4 Purchase Order Form



INSTRUCTIONS TO VENDOR

GENERAL
1. Return report slip with material or use as a report if item cannot be sent or delivery will be delayed.
2. Send latest edition unless otherwise indicated.
3. Report before sending if item is part of a series unless SERIES is indicated.
4. Report on price before supplying items over $30.00 if order does not give price.

INVOICING
5. Exempt from Ohio sales tax, Rev. Code of Ohio Sec. 5739.02 and from all federal taxes.
6. Submit invoice in triplicate. Bill together only identical FUND numbers. Bill in U.S. currency or state exchange rate.
7. Purchase order number must appear on all invoices and correspondence.

SHIPPING
8. Ship by cheapest means practical unless item is marked RUSH.
9. Address shipment, correspondence, invoices, etc., to the library address on front unless another address is indicated under "Bill to:"

FIGURE 5 Instructions on Verso of Order Form

CLAIM NOTICE

Claim notices will be produced automatically by the computer according to pre-determined claim cycles. OCLC will establish a claim cycle for each vendor, depending in part upon the geographic location of the vendor. Each Member library will decide on the number of claims to be sent for that library. It will also be possible to initiate claims manually, as well as to suppress the automatic claim function. To initiate a claim manually, the date will be typed in field 20 on the TPS screen, then PRODUCE and SEND. To suppress an automatic claim, 'nc' will be typed in field 20, then UPDATE and SEND.

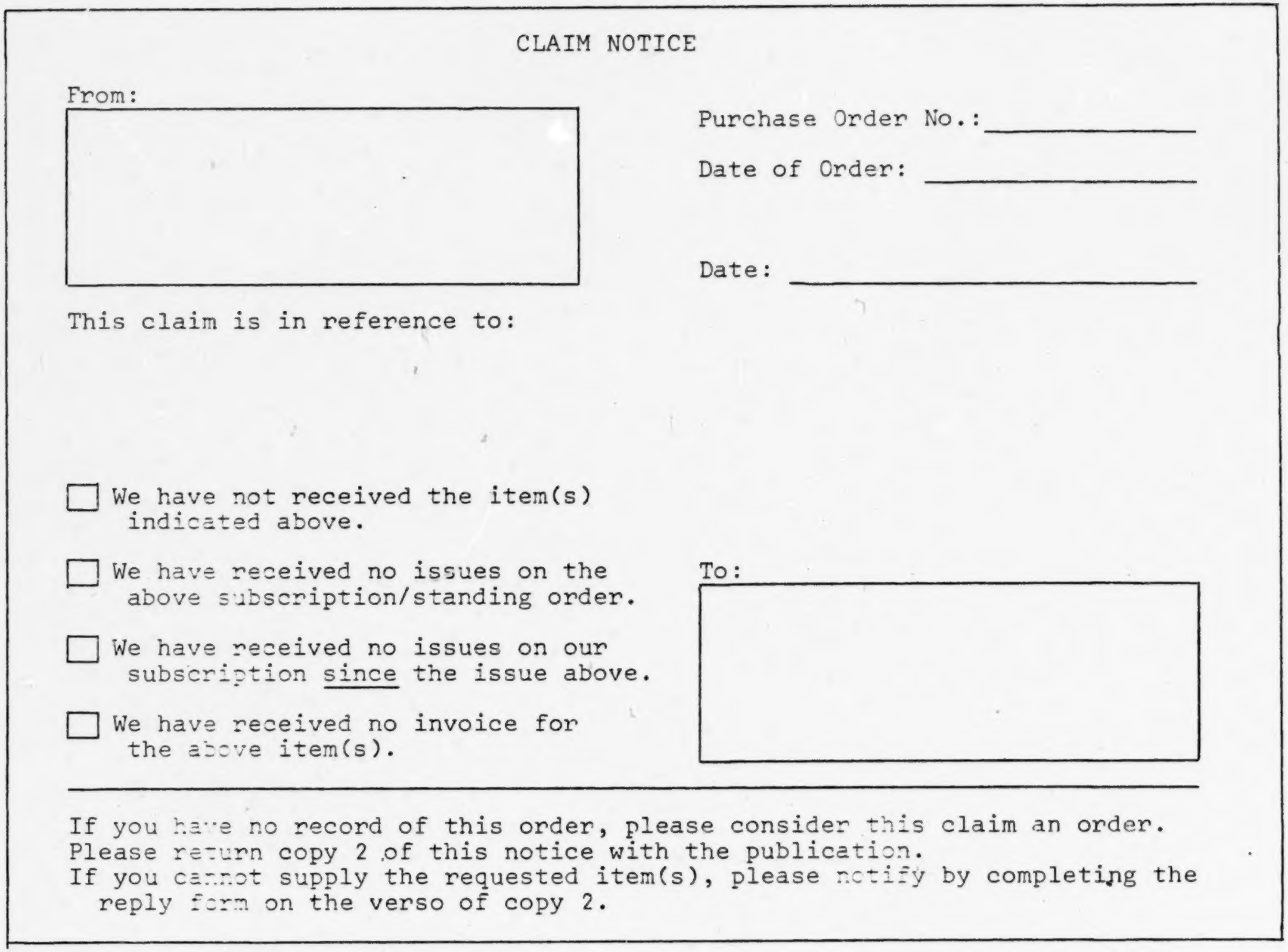
Claim will be sent for items ordered but not received within the specified period of time, and also for overdue invoices for items already received. Illustrations of the claim notice and the vendor reply form to be printed on the back of the claim notice are shown in Figures 6 and 7, on the following pages.

REQUESTER NOTICE

Requester notices will be sent regularly to the libraries that desire them, for distribution to the requesters. Each title, for which the requester has asked to be notified, will be listed on the notice, along with the processing status of each title. The notice will be patterned after the one used at Yale University Library that is shown in Figure 8 on page 34.

PUNCHED CARDS

When an invoice is approved for payment via the terminal, the computer will produce punched cards for those institutions with automated purchasing departments. The cards will be sent directly from OCLC to the purchasing department of the institution concerned, thus eliminating the need to sent the invoices for manual keypunching.



CLAIM NOTICE

From:

Purchase Order No.: ____________

Date of Order: ____________

Date: ____________

This claim is in reference to:

☐ We have not received the item(s) indicated above.

☐ We have received no issues on the above subscription/standing order.

☐ We have received no issues on our subscription since the issue above.

☐ We have received no invoice for the above item(s).

To:

If you have no record of this order, please consider this claim an order.
Please return copy 2 of this notice with the publication.
If you cannot supply the requested item(s), please notify by completing the reply form on the verso of copy 2.

FIGURE 6 Claim Notice

REPLY FORM

☐ Requested publication has been sent from ______________________

Date Shipped ______________

☐ Title changed to ______________________________________

Date Shipped ______________

☐ Ceased publication with ____________________. Order canceled.

☐ Not our publication. Order canceled.

☐ Must be ordered direct from publisher. Order canceled.

☐ Out-of-print, order canceled, will quote if found.

☐ Sold, order canceled, will quote if found.

☐ Out-of-stock. ☐ Order canceled. ☐ Shipment expected by ________

☐ Not yet publ. ☐ Order canceled. ☐ Shipment expected by ________

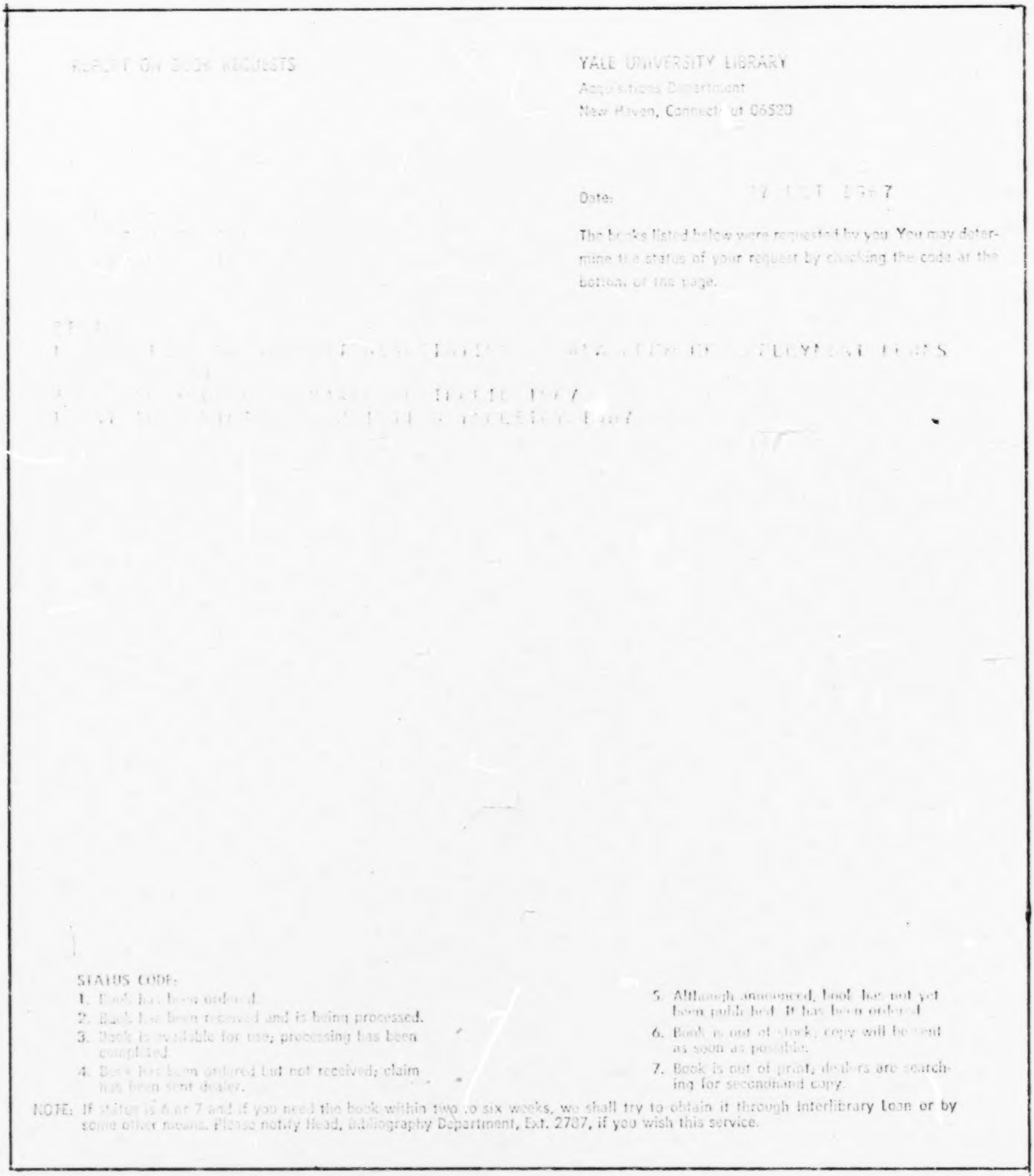
☐ Series (please specify) ______________________________

☐ Other (please specify) ______________________________

Name ____________________

Date ____________________

FIGURE 7 Reply Form on Verso of Claim Notice



REPORT ON BOOK REQUESTS

YALE UNIVERSITY LIBRARY
Acquisitions Department
New Haven, Connecticut 06520

Date: 17 OCT 1967

The books listed below were requested by you. You may determine the status of your request by checking the code at the bottom of the page.

[illegible]

STATUS CODE:

1. Book has been ordered.
2. Book has been received and is being processed.
3. Book is available for use; processing has been completed.
4. Book has been ordered but not received; claim has been sent dealer.
5. Although announced, book has not yet been published. It has been ordered.
6. Book is out of stock; copy will be sent as soon as possible.
7. Book is out of print; dealers are searching for secondhand copy.

NOTE: If status is 6 or 7 and if you need the book within two to six weeks, we shall try to obtain it through Interlibrary Loan or by some other means. Please notify Head, Bibliography Department, Ext. 2787, if you wish this service.

FIGURE 8 Requester Notice

FINANCIAL REPORTS

The following reports will be computer-produced on a regular basis for each library.

1. Fund Commitment Register
2. Fund Commitment Register Summary
3. Summary by Institution Account
4. Report of Exhausted or Overcommitted Funds
5. Invoice Transaction Journal

A Foreign Conversion Table will automatically convert foreign monies to U.S. dollars. Periodically the table will be updated to bring it into accord with current exchange rates.

According to its option, a library will receive any or all of the listed reports, that are briefly described below.

The Fund Commitment Register will list detailed transactions tallied against each fund during the period covered by the report. The format of the print-out is illustrated in Figure 9, page 37.

The Fund Commitment Register Summary will show only the summarized transactions by fund. This summary will be displayed on the CRT screen in response to keying in the fund number plus DISPLAY REC'D and SEND. The screen display is illustrated in Figure 11. The print-out will assume the format shown in Figure 10, page 38.

The Summary by Institution Account will be similar to the Fund Commitment Register Summary but will be by account rather than fund. The screen display will be retrieved in response to the account number, DISPLAY REC'D and SEND.

The Report of Exhausted or Overcommitted Funds will list each fund that is more than 80% committed with the amount allocated and the amount committed to date. In addition to the printed report, the system will display a warning on the screen when an operator keys in a fund designation for an order that will overcommit that fund. If a library so desires, the system will reject any order assigned to a fund that is fully committed.

The Invoice Transaction Journal will list, under the appropriate account and fund numbers, and arranged by vendor, each invoice number, the date paid, and the amount paid. See Figure 12, page 40, for an example of the print-out format.

INPUTING ALLOCATIONS

To enter new allocations at the beginning of the fiscal year, the operator will request an allocation form ('af') and type in the period covered by the allocation, the account number, and the fund number, followed by the amount allocated. UPDATE and SEND will communicate this data to the system. The screen display for this transaction is shown in Figure 13, page 41.

FUND COMMITMENT REGISTER

Institution:

Date:

FUND DESIGNATION (No. and/or Name)	P.O. NUMBER	ORIGINAL ALLOCATION	REVISED ALLOCATION	EXPENDED TO DATE	UNEXPENDED BALANCE	AMOUNT ENCUMBERED	FREE BALANCE

FIGURE 9 Fund Commitment Register

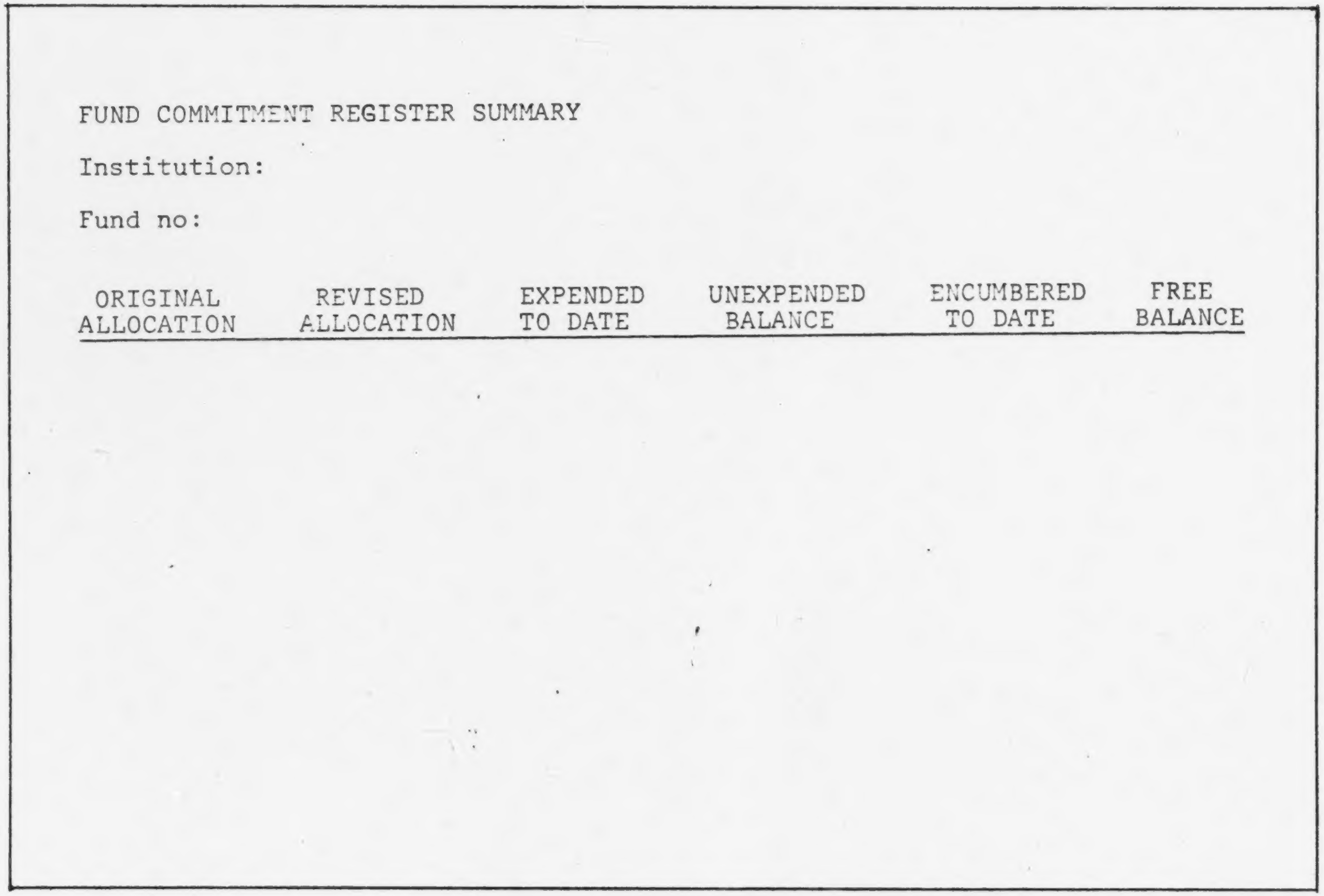
FUND COMMITMENT REGISTER SUMMARY

Institution:

Date:

FUND DESIGNATION (No. and/or Name)	ORIGINAL ALLOCATION	REVISED ALLOCATION	EXPENDED TO DATE	UNEXPENDED BALANCE	AMOUNT ENCUMBERED	FREE BALANCE

FIGURE 10 Fund Commitment Register Summary



FUND COMMITMENT REGISTER SUMMARY

Institution:

Fund no:

ORIGINAL ALLOCATION	REVISED ALLOCATION	EXPENDED TO DATE	UNEXPENDED BALANCE	ENCUMBERED TO DATE	FREE BALANCE

FIGURE 11 Screen Display for Fund Commitment Register Summary

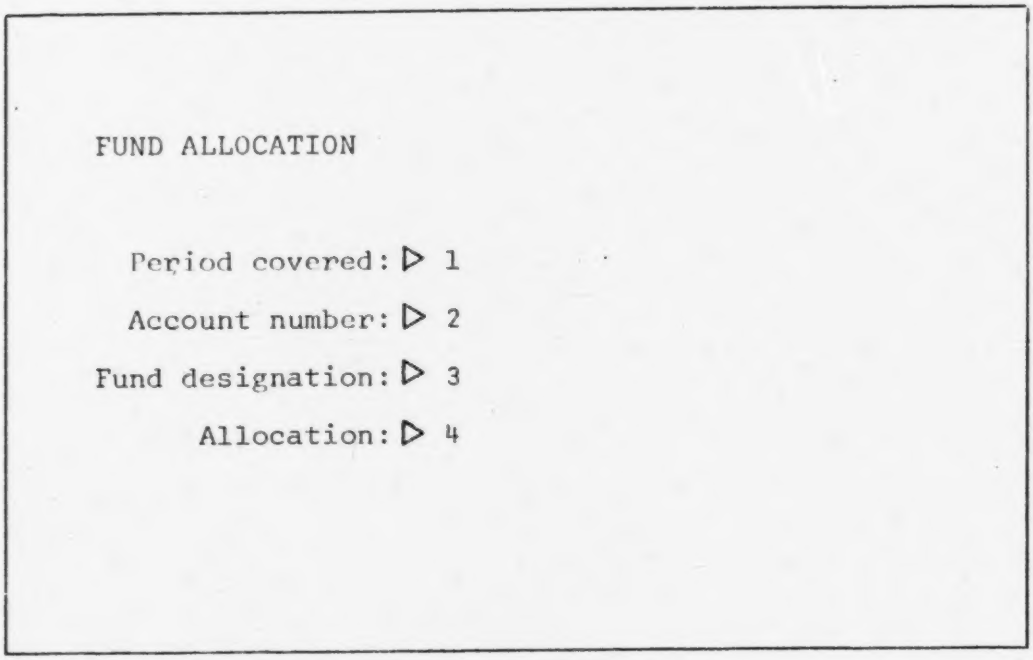
INVOICE TRANSACTION JOURNAL

Institution:

Date:

ACCOUNT NO.	FUND DESIGNATION	VENDOR CODE	INVOICE NO.	DATE PAID	AMOUNT PAID

FIGURE 12 Invoice Transaction Journal



```
FUND ALLOCATION

  Period covered: ▷ 1
  Account number: ▷ 2
Fund designation: ▷ 3
      Allocation: ▷ 4
```

FIGURE 13 Screen Display for Inputing Allocations

SUBSEQUENT PRODUCTS

The following products will not be available at the time the Technical Processing System is implemented but will be added as soon as possible following implementation. The first group listed will be issued regularly to those libraries that request them. The second group will be produced upon demand from the system.

Group I:

Delayed Processing Reports will be addressed to the supervisors of the various departments to which they apply. A maximum time period will be established for a title to remain in a given processing area before the computer produces a report that completion of the processing for that particular item is overdue.

List of Books Ready for Requesters will be issued to the circulation departments periodically. The requesters listed will be those who asked for a particular title after another person had already requested it. The first requester's original request will be with the item when it goes to the circulation department. Circulation will use the list of names as a reserve list for subsequent lending of the materials.

XI

RECOMMENDED STANDARDS FOR THE CATALOGING OF SERIALS May 1972

Accompanying each field is the Committee's recommendation for the application of that field in the OCLC Serials Control System. Definitions of the terms used are as follows:

Mandatory	Field or subfield should always be input, if applicable to the work being cataloged, whether or not LC copy or some other similar source of information is available.
Required if available	Field or subfield should be input, if available from LC copy or some other similar source of information. If such a source is not available, input is optional.
Optional	Field or subfield may be input at the discretion of the individual library.
Omit	Field or subfield should not be input.

Unless there is a recommendation to the contrary, it is assumed that, if a field is used, the relevant subfields defined for that field in Serials - A MARC Format are required.

Field	Name of Data Element	Recommendations & Comments
Fixed Fields		
008		
#1	Date entered on file	Will be supplied automatically.
#2	Publication status c - current d - dead u - unknown	Will default to 'c', otherwise must be input explicitly. Recommend adding status 's' for suspended.
#3	Beginning year of publication	Will be entered in field 362 and automatically transferred to fixed field.
#4	Ending year of publication	Same as above.
#5	Country of publication code	Omit.
#6	Frequency	Mandatory.

Field	Name of Data Element	Recommendations & Comments
008		
#7	Regularity r - regular n - normalized irregular x - completely irregular	Mandatory.
#9	Type of serial designator ƀ - none listed below p - periodical m - monographic series n - newspaper	Mandatory.
#10	Physical medium designator	Required if available.
#11	Form of reproduction ƀ - not a reproduction a - microfilm b - microfiche c - microopaque d - large-print	Omit in Catalog record. Enter in local Check-in record.
#12	Form of content	Omit.
#13	Government publication designator	Required if available.
#14		
#14	Conference publication designator	Omit
#15	Title page availability	Required if available.
#16	Index availability	Required if available.
#17	Cummulative index availability	Omit.
#19	Title as it appears on the piece designator	Omit
#20	Language code	Mandatory. Will default to English.
#21	Modified record designator ƀ - record not modified x - modified because of non-roman characters etc. d - modified because of dashed-on entry s - shortened record	Mandatory.
#22	Cataloging source code	Automatic.

Field	Name of Data Element	Recommendations & Comments
	Variable Fields	
! 010	LC card number	Required if available and if LC copy is source of cataloging.
015	National bibliographic number	Omit.
022	Standard serial number	Omit for the present.
025	Overseas acquisition number	Omit.
030	Coden	Omit.
035	Local system number	Omit.
° 040	Cataloging source	Automatic.
!° 041	Languages of text if multilingual, or language of text followed by language of original if translation	Mandatory.
043	Geographic area code	Omit.
049	Holding library	Mandatory. Will default to main library.
050	LC call number	Required if available. Input only if it is clear where '‡' should be placed.
051	LC copy statement	Omit.
060	NLM call number	Optional. Same qualification as for LC call number.
061	NLM copy statement	Omit.
070	NAL call number	Omit.
071	NAL copy statement	Omit.
072	NAL subject category number	Omit.
080	UDC number	Omit.
082	DDC number	Required if available.

See page 8 for explanation of symbols.

Field	Name of Data Element	Recommendations & Comments
086	U.S. Supt. of Docs. classification number	Required if available.
! 090	Local LC call number	Optional.
! 092	Local Dewey call number	Optional.
!* 100	Main entry - personal name	Mandatory. (‡e is required)
!* 110	Main entry - corporate name	Mandatory.
!* 111	Main entry - conference name	Mandatory. (‡g is optional)
!* 130	Main entry - uniform title	Mandatory.
!* 200	Title as it appears on the piece	Mandatory if different from 245 or 1xx + 245. Recommend adding first indicator: 0 - Note; no title added entry 1 - Note; title added entry 2 - No note; no title added entry
210	Abbreviated entry	Omit for the present. Reconsider if list of Standard Abbreviated Forms becomes a reality.
240	Uniform title	Required if available.
!* 245	Full title	Mandatory. (‡b and ‡c are required if available)
!* 246	Varying forms of title	Mandatory. Recommend additional option in first indicator: 0 - Note; no title added entry 1 - Note; title added entry 2 - No note; no title added entry
!* 247	Former titles	Mandatory for those serials entered entirely under the latest title. For former titles with separate record use 780.

See page 8 for explanation of symbols.

RECOMMENDED STANDARDS May 1972

Field	Name of Data Element	Recommendations & Comments
250	Edition statement	Mandatory.
260	Imprint	Mandatory. Date will not be entered in 260 unless it is different from date in 362.
265	Subscription address	Omit. Will be in TPS record.
300	Collation	Required if available. (‡b and ‡c are required if available)
310	Frequency	Optional if 008, #7 is 'r', otherwise mandatory.
320	Current frequency control	Omit.
° 321	Former frequency	Required if available.
° 330	Publication pattern	Required if available.
° 331	Former publication pattern	Required if available.
350	Subscription price	Omit. Will be in TPS record.
362	Dates & volume designations	Required if available. First indicator 0 prints following the title; 1 prints as a note.
* 400	Series statement - personal name/title (traced)	Required if available. (‡e is required if available)
* 410	Series statement - corporate name/title (traced)	Required if available.
* 411	Series statement - conference/ title (traced)	Required if available. (‡g is optional)
* 440	Series statement - title (traced)	Required if available.
490	Series statement - untraced or traced differently	Mandatory if no other 4xx field is used for series.
500	General notes	Optional.
506	Limited use note	Omit.

See page 8 for explanation of symbols.

Field	Name of Data Element	Recommendations & Comments
510	Indexing & abstracting coverage	Optional.
515	Note for explanation of dates, volumes, etc.	Required if available.
520	Abstract or annotation note	Optional.
525	Supplement note	Required if available.
530	Additional physical forms note	Omit.
546	Language note	Optional.
547	Former title note (complexity)	Mandatory when information is too complex for an intelligible note to be generated from 247.
550	Issuing body note	Required if available.
555	Cumulative indexes	Required if available.
570	Editor note	Optional.
580	Linking entry notes (complexities)	Optional.
600	Subject heading - personal name	Mandatory.
610	Subject heading - corporate name	Mandatory.
611	Subject heading - conference	Mandatory. (‡g is optional)
630	Subject heading - uniform title	Mandatory.
650	Subject heading - topical	Mandatory.
651	Subject heading - geographic	Mandatory.
690	Local subject headings - topical	Optional.
691	Local subject headings - geographic	Optional.

Field	Name of Data Element	Recommendations & Comments
700	Added entry - personal name	Required if available. (‡e is required if available)
710	Added entry - corporate name	Required if available.
711	Added entry - conference	Required if available. (‡g is optional)
730	Added entry - uniform title	Required if available.
760	Main entry series	Mandatory. Print constant should be 'subseries of'.
762	Subseries entry	Optional.
765	Original language entry	Required if available.
767	Translation entry	Optional.
770	Supplement/special issue entry	Optional.
772	Parent record entry	Optional.
775	Other editions available entry	Optional.
776	Other physical forms available	Optional.
777	'Issued with' entry	Mandatory.
780	Preceding entry(s)	Mandatory.
785	Succeeding entry(s)	Mandatory.
787	Linking entry - non-specific	Optional.
800	Series added entry - personal name	Optional. (‡e is required if available)
810	Series added entry - corporate name	Optional.
811	Series added entry - conference	Optional. (‡g if optional)
840	Series added entry - title	Optional.
850	Holdings	Omit. Recorded elsewhere.

Below is an explanation of the symbols that appear in the left margin on preceding pages 3, 4, and 5.

* An added entry tracing and heading may be generated by an indicator in this field.

° Data in this field will not be printed.

! Data in this field will be used for on-line record retrieval, although the capability may not be available at the time the system is implemented.

The data elements in the fixed fields will not print; the elements in 008 will display.

If no symbol appears before a variable field tag, it is a printing field, but will not be used for record retrieval or to generate an added entry tracing and heading (except 6xx, 7xx and 8xx, which are added entry fields).

Fields to be omitted from the record have not been otherwise marked.

the ohio college library center
1550 w. henderson rd. – columbus ohio – 43220

XII

2 June 1972

STANDARDS FOR INPUT CATALOGING

At the 17 May Membership meeting the Representatives unanimously adopted the following Standards for Input Cataloging. These Standards were formulated by the Advisory Committee on Cataloging in a series of meetings held between December 1971 and April 1972.

This series of meetings was held to discuss methods by which the quality of input cataloging could be improved while maintaining input costs at the lowest possible level. The Committee members attempted to reach agreement as to the minimum acceptable content of an input record. The goal toward which it worked was an increase in the compatibility of records input by different libraries so that records input by one can be used by others with a minimum amount of checking and changing.

The guideline directing the discussion was agreement that LC practice should be followed in so far as that practice can be determined by a local library following its own policies as to verification. It was recognized that libraries receiving proof

(614) 422-8500

slips and the National Union Catalog are in a better position to ascertain Library of Congress practice than are libraries lacking such bibliographic resources.

When Library of Congress practice cannot be determined, the Anglo-American Cataloging Rules (AACR) should be followed.

Staff members from the following libraries worked on the preparation of these Standards: Antioch College, Bowling Green State University, Case Western Reserve University, Cleveland State University, The College of Wooster, Heidelberg College, Hiram College, Kent State University, Miami University, Oberlin College, Ohio State University, Ohio University, Ohio Wesleyan University, University of Cincinnati, University of Toledo, Walsh College, and Wright State University.

This Introduction does not form part of the Standards adopted by the Representatives.

DEFINITIONS

The Committee's recommendation is attached to each field or subfield discussed in the following pages. Definitions of the terms used are as follows:

Mandatory	Field or subfield should always be input, if applicable to the work being cataloged, whether or not LC copy or some other similar source of information is available.
Required if available	Field or subfield should be input if available from LC copy or some other similar source of information. If such a source is not available, input is optional.
Optional	Field or subfield may be input at the discretion of the individual library.
Omit	Field or subfield should not be input.

A tabular summary of the Standards appears on pages 18-28 where recommendations are given on both the field and subfield level. Sometimes a field may be listed as 'Optional' while some of its subfields are 'Mandatory'. This means that a library is free to choose whether or not it wants to input that field but that once having chosen to do so, it should input those subfields if they are applicable.

FIXED FIELDS

The following elements are now displayed in the Fixed Field area of the terminal screen:

OCLC control number

Cataloging source

Type of record, e.g., Printed language material, Printed score, etc.

Intellectual level, e.g., Non-Juvenile or Juvenile.

Bibliographic level, e.g., Monograph or Serial.

Form of reproduction, e.g., Not a reproduction, Microfilms, etc.

Language, e.g., English, French, Latin, etc.

International Standard Book Number (ISBN)	Omit
LC card number	Required if available

The first two elements are automatically provided by the system. Defaults, which may be overridden by a terminal user, are provided for the next five elements. The example given first and underlined for each of these five elements in the above list is the default for that element.

The Committee decided that, for the present, until more knowledge is available as to the amount of use that will be made of the ISBN, the ISBN should be omitted in input cataloging.

Need was expressed for more detailed language information than is available in the Fixed Field area which can accept only one language code. (See 041 Field on bottom of p. 4)

VARIABLE LENGTH FIELDS

041 or Language Field   Mandatory

This field is Mandatory if the work is multilingual or is a translation. Since the 041 is not a printing field, any language information which should be printed would have to be repeated in a note (500 field). The use of the 041 field will be described in a future issue of the *Newsletter*.

049 or Local Holdings Field Mandatory

This field is not yet fully operational and has not been fully defined. The indicators are not yet operational. Holding library symbols and stamps required for the work being cataloged are Mandatory.

050 or LC Call Number Field Required if available

It was recommended that LC libraries input LC call numbers without verification when such numbers are available from the bibliographic source being used to provide the input data. Since Dewey libraries would have difficulty delimiting the book number in LC call numbers, such libraries are asked to input the 050 field only when they are certain that the call numbers is so simple as to offer no problem. Call numbers with more than one cutter number are difficult and should not be input by Dewey libraries.

The first indicator in this field shows whether or not the Library of Congress has this work. If LC copy is being used as the source of the cataloging data, the assumption is that the work is in LC unless the copy is the result of the shared cataloging program. This indicator is required if available.

060 or NLM Call Number Field Optional

NLM call numbers should be input for the use of the Ohio medical libraries which are considering joining OCLC. This field should be input, however, only if the inputing library is confident it knows how to delimit the class number from the book number.

070 or NAL Call Number Field Omit

082 or Dewey Class Number Field — Required if available

This field offers no delimiting problems since it consists of an 'a' subfield only.

086 or Superintendent of Documents Class Number — Required if available

Since the 086 is not a printing field, libraries that wish the SuDocs number to be printed on their catalog cards should repeat it in a note (500 field).

100 or Personal Name Main Entry Field — Mandatory

All subfields defined by the MARC Development Office thru the 4th edition of Books: A MARC Format are Mandatory except that the 'e' or 'Relator' subfield is Required if available rather than Mandatory. Subfields first defined in the 5th edition are Optional. (See pp. 18 ff)

LC practice should be followed if LC copy is available at the time of input. If LC copy for the work is not available, the inputing library should verify the author and use the latest LC form of name. It was emphasized that LC practice should be followed even if, for example, the inputing library knows information such as a birth date or full forename when the Library of Congress had omitted the date or used only initials. Death dates can be freely inserted if the birth date is present. OCLC will try to work out a procedure by which information not used by LC can be input while at the same time making it clear which information emanates from LC and which does not.

110 or Corporate Name Main Entry Field — Mandatory

The 'a', 'b', 'k', and 't' subfields are Mandatory. The 'e' or 'Relator' subfield is Required if available.

The additional subfields first defined in the 5th edition of *Books: A MARC Format* are Optional except for the 'u' or 'Nonprinting' subfield which should be Omitted.

111 or Meeting Name Main Entry Field — Mandatory

All subfields are Mandatory except for the 'g' or 'Miscellaneous information' subfield which is Optional as are the additional subfields first defined in the 5th edition.

130 or Uniform Title Main Entry Field — Mandatory

The 'a' and 't' subfields are Mandatory as is the 'k' or 'Form subheading' subfield first defined in the 5th edition. The other subfields first defined in the 5th edition are Optional.

240 or Uniform Title Field — Required if available

Libraries that wish to do so are free to search to establish a uniform title not immediately available. If the uniform title being input is available somewhere on printed LC copy being used as a source, the first indicator should be set to '1'. Otherwise, the first indicator should be set to '0'.

The second indicator in the 240, 241, 245, 440, and 840 fields is provided by MARC but not used by OCLC. When doing input cataloging, OCLC Members should leave this indicator position blank.

241 or Romanized Title Field	Optional
245 or Title Field	Mandatory
'a' or 'Short Title' Subfield	Mandatory
'b' or 'Remainder of Title' Subfield	Mandatory
'c' or 'Remainder of Title-Page' Subfield	Mandatory

The libraries represented at the 9 May meeting of Catalog Department staffs requested that all subfields of the 245 field be Mandatory. The only negative vote was cast by Wright State which preferred that the 'b' and 'c' subfields be Required if available rather than Mandatory.

Determination as to whether the first indicator should be set to '0' (title not traced) or '1' (title traced) should be made by the inputing library according to its own practice if it is doing original cataloging. Otherwise, the practice used on the LC source document should be followed.

250 or Edition Field	Mandatory
'a' or 'Edition Statement' Subfield	Mandatory
'b' or 'Additional information' Subfield	Required if available
260 or Imprint Field	Mandatory

The Committee discussed the question of which date, copyright or printing, should be input in the 'c' subfield. If the record being input is based on LC copy, that copy should be followed. If original cataloging is being input, the practices of the inputing library should be followed. Every attempt should be made to make it clear which date is being used through such means as a 'c' before a copyright date or a note showing the printing history of the work.

300 or Collation Field	Mandatory
'a' or 'Paging' Subfield	Mandatory

The Committee recommended that preliminary paging as well as the main group of pages should be shown in this subfield. It was also recommended that the British policy of including plates in the 'a' subfield should be followed as LC is thinking of adopting this practice.

'b' or 'Illustration' Subfield Required if available

'c' or 'Height' Subfield Required if available

350 or Bibliographic Price Field Omit

400 or Personal Name Series Note (Traced) Required if available

If the 400 field is used, all subfields defined thru the 4th edition of Books: A MARC Format are Mandatory except for the 'e' subfield which is Required if available. Subfields first defined in the 5th edition are Optional.

410 or Corporate Name Series Note (Traced) Required if available

If the 410 field is used, all subfields are Mandatory with the following exceptions: the 'e' subfield is Required if available and those subfields first defined in the 5th edition are Otpional except for the 'u' subfield which is to be Omitted.

411 or Conference Name Series Note (Traced) Required if available

If the 411 field is used, all subfields are Mandatory except for the 'g' or 'Miscellaneous information' subfield and the subfields first defined in the 5th edition, all of which are Optional.

440 or Title Series Note (Traced) Required if available

If the 440 field is used, all subfields are Mandatory.

The 400, 410, 411, and 440 fields serve two purposes: to provide a series note and to generate automatically a series tracing. A series note must be provided if the work being cataloged belongs to a series. If the series tracing is not desired, a 490 field should be input in place of a 400, 410, 411, or 440 field. The series tracing need be input only if it is available on the LC cataloging source copy, or, in original cataloging, if the inputing library wishes to use it.

490 or Series Untraced or Traced Differently Field Mandatory

If the work being cataloged is in a series and no 400, 410, 411, or 440 field is provided, a 490 field is Mandatory.

All information in this field is in the 'a' subfield and no distinction is made for volume information as a 490 field is not used as a heading. (But see the 8xx fields on p. 16 & 17)

The sole purpose of the first indicator in this field is to alert one to the existence of a related 8xx field. If the inputing library does not wish to trace the series in a related 8xx field, even if the Library of Congress does so, the first indicator should be set to '0'. Other libraries that subsequently use the record will have the option of inputing any 8xx fields that they desire.

500 or General Note Field Optional

The inputing library may input as many notes as it needs.

501 or 'Bound with' Note Field Omit

This field applies only to the holdings of the Library of Congress. 'Bound with' notes that apply to a local inputing library should be tagged 590. OCLC is discussing with the Library of Congress the possibility of using an indicator to differentiate a 'Bound with' note from a 'With, as issued,' note since the latter would apply to all copies of a work while the former would not. At present, all 'With, as issued,' notes should be tagged 500.

502 or Dissertation Note Field — Optional

503 or Bibliographic History Note Field — Omit

Any information that might have gone into this field should be put in a 500 field.

504 or Bibliography Note Field — Required if available

505 or Contents Note Field — Optional

Members, when doing original cataloging, should be free to follow their own policy about inputing contents notes. If following LC cataloging copy, Members are asked to input such notes unless the notes are very long. If LC lacks some volumes which the inputing library possesses, the inputing library is asked to enter its volumes.

It must be emphasized that the Contents note prints only when the first indicator is set at either zero (Full Contents) or '2' (Partial Contents). These two indicator states show that the Library of Congress has the complete work although it may have decided to list only Partial Contents (indicator '2'). If the Library of Congress has an incomplete set at the time of cataloging, the indicator is set at '1' and the Incomplete Contents Note is not printed by OCLC on the assumption that the exact volumes held by LC are not necessarily held by other libraries.

520 or Abstract or Annotation Field — Required if available

This field is provided only for juvenile works.

590 or Local Note Field Optional

This field is to be used by the inputing library for notes that apply to its copy of the work only. Local 'Bound with' notes that are unique to the copy held by the inputing library are input in this field. 590 fields do not become part of the Catalog Record File and do not display on the terminal screen. Binding notes that apply to all copies of a work should be tagged 500.

600 or Personal Name Subject Field Mandatory

All subfields defined thru the 4th edition of Books: A MARC Format are Mandatory except the 'e' subfield which is Required if available. See the relevant portion under Field 100 for a discussion of the 'd' or 'date' subfield.

The second indicator should be provided as follows:

'0' should be used if the heading has been verified as an authorized LC heading.

'1' should be used if the work being cataloged is a juvenile and the heading is an Annotated Card Program heading.

'2' should be used if LC copy is being followed and it contains an NLM subject heading. Members are being asked to provide medical headings for the use of medical libraries that are considering joining OCLC.

'3' should not be used as we have no members interested in National Agricultural Library subject headings. If such headings are found on LC printed copy being used as a cataloging source, they may be omitted.

'4' should be used as follows: a) if the heading in question is thought to be an LC heading but the inputing library has made no attempt to verify that it actually is; b) if the inputing library has tried but been unable to verify the heading; and c) for LC-like subject headings that are not synonyms for existing LC subject headings. The cross-references in the List of Subject Headings... should be checked to establish synonymy. If such proposed headings conflict with established LC headings or cross-references to such headings, they must be put in a 69x field. If in doubt, put in 690 or 691.

The Committee recommended that an option be set up by which each library could decide whether or not it wanted headings with indicators '1', '2', or '4', to print on its catalog cards along with headings with indicator '0'. Even if a library chose not to get headings with indicator '4' it would be able to get such headings when it is the Cataloging Source for the record.

610 or Corporate Name Subject Field — Mandatory

The discussion about indicators in the 600 field applies to the 610 field as well.

All the subfields defined thru the 4th edition of Books: A MARC Format are Mandatory except the 'e' or 'Relator' subfield which is Required if available. The additional subfields first described in the 5th edition are Optional except for the 'u' or 'nonprinting' subfield which is to be Omitted.

611 or Meeting Name Subject Field — Mandatory

The discussion about indicators in the 600 field applies to the 611 field as well.

All subfields are Mandatory except for the 'g' or 'Miscellaneous information' subfield and the subfields first defined in the 5th edition, all of which are Optional.

630 or Uniform Title Subject Field Mandatory

The discussion about indicators in the 600 field applies to the 630 field as well.

The subfield codes defined thru the 4th edition are Mandatory as is the 'k' or 'Form subheading' subfield defined in the 5th edition. All other subfields first defined in the 5th edition are to be Optional.

650 or Topical Subject Field Mandatory

The discussion about indicators in the 600 field applies to the 650 field as well.

All subfields are Mandatory.

Standard scientific nomenclature should be input in this field. The indicator should be set to '0' even if specific LC authority is lacking since the List of Subject Headings... does not contain all such terms used in the catalogs of the Library of Congress.

651 or Geographic Name Subject Field Mandatory

The discussion about indicators in the 600 field applies to the 651 field as well.

All subfields are Mandatory. The 'b' subfield is used for names of neighborhoods or other non-governmental subdivisions of a geographic entity. One example would be 'Chicago. Kenwood' where 'Chicago' would go in the 'a' subfield and 'Kenwood' would be in the 'b' subfield.

690 or Local Subject Field (Topical) Optional

All non-LC-like topical subject headings that an inputing library wishes to use must be put in a 690 field. This field is not part of the Catalog Record File and is not displayed on the terminal screen.

691 or Local Subject Field (Geographic) Optional

All non-LC-like geographic subject headings that an inputing library wishes to use must be input in a 691 field. This field is not part of the Catalog Record File and is not displayed on the terminal screen.

The Committee discussed the use of the second indicator in the 7xx fields since it is often difficult to decide whether an added entry is an alternative or a secondary entry. It was decided that this distinction has value only for a book catalog and that Members may use the indicator '0' (Alternative entry) consistently for all 7xx fields unless the entry is definitely analytic when the indicator '2' would be used. Of course, Members are free to use the indicator '1' if they so wish.

700 or Personal Name Added Entry Field Required if available

If a 700 field is used, all subfields defined thru the 4th edition of Books: A MARC Format are Mandatory except for the 'e' or 'Relator' subfield which is Required if available. The 'u' or 'Nonprinting' subfield which was originally defined for this field is no longer defined for it and should therefore never be input. The additional subfields first defined in the 5th edition are Optional.

710 or Corporate Name Added Entry Field Required if available

All subfields defined thru the 4th edition are Mandatory if a 710 field is used. The exceptions are the 'e' or 'Relator' subfield which is Required if available and the 'u' or 'Nonprinting' subfield which is to be Omitted. The additional subfields first defined in the 5th edition are Optional.

711 or Conference or Meeting Name Added Entry Required if available

All subfields defined thru the 4th edition are Mandatory if a 711 field is used. The exceptions are the 'g' or 'Miscellaneous information' subfield which is Optional and the 'u' or 'Nonprinting subfield which is no longer defined and should therefore never be used. The additional subfields first defined in the 5th edition are Optional.

730 or Uniform Title Name Added Entry Required if available

The subfield codes defined thru the 4th edition are Mandatory if a 730 field is used as is the 'k' or 'Form subheading' subfield defined in the 5th edition. All other subfields first defined in the 5th edition are Optional.

740 or Title-in-Different-Form Added Entry Required if available

The question arose as to what value the second indicator has in a 740 field. The MARC Development Office now believes that the indicator is redundant in a 740 field and was established only to bring about uniformity among all 7xx fields. OCLC Members are free to use either a '0' or a '2' as described on p. 15.

8xx Series Added Entries Fields Optional

If an 8xx field is used, the indicators and subfield codes defined thru the 4th edition of Books: A MARC Format are Mandatory.

The Committee suggested that as a labor-saving device all series notes should be put in the form in which the tracing is to be made and tagged 400, 410, 411, or 440, thus obviating the need for an 8xx field. The Committee is aware that this practice is contrary to AACR. Members who do not wish to follow this practice are free to continue using the 490 and appropriate 8xx fields if they so desire.

910 or User Option Field Optional

This field prints on the bottom line of the card to the left of the rodhole and contains a maximum of twenty-two characters. The call number on a unit or 'zc' card prints in this area.

Some Members have asked OCLC to print certain types of information automatically in this area on some or all cards for all records. When this automatic insertion is programmed, the library in question has no need to use a 910 field. Where the information to be input varies from record to record according to some pattern that cannot be programmed, the inputing library provides the information for a particular record in a 910 field. No indicators or subfield codes are required.

VARIABLE FIELD TAGS

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Bibliographic Control Numbers			
015	National Bibliography number		ǂa	Omit
025	Overseas acquisitions number		ǂa	Omit
041	Languages	First indicator: 0 - Multilanguage 1 - Translation	ǂa Codes for languages of text or its translation	Mandatory
			ǂb Codes for languages of summaries	Mandatory
043	Geographic area code		ǂa	Omit
049	Holdings		ǂa Holding library	Mandatory
	Knowledge numbers			
050	LC call number	First indicator: 0 - Book is in LC 1 - Book is not in LC	ǂa LC class number	Required if available
			ǂb Book no.	Required if available
051	LC copy statement		ǂa	Omit
			ǂb	Omit
			ǂc	Omit
060	NLM call number		ǂa NLM class number	Optional
			ǂb Book no.	Optional
070	NAL call number		ǂa	Omit
			ǂb	Omit
082	Dewey decimal classification number		ǂa DDC no.	Required if available
086	Supt. of Docs. classification number		ǂa SuDocs no.	Required if available
090	Local call number (LC)		ǂa LC class no.	Optional
			ǂb Book number	Optional
092	Local call number (Dewey)		ǂa Dewey class number	Optional
			ǂb Book number	Optional

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Main Entry			
100	Personal name - Mandatory	First indicator:	ǂa Name	Mandatory
		0 - Forename	ǂb Numeration	Mandatory
		1 - Single surname 2 - Multiple surname 3 - Name of family Second indicator:	ǂc Titles & other words associated with name	Mandatory
		0 - m.e. is not subject	ǂd Date	Mandatory
		1 - m.e. is subject	ǂe Relator	Required if available
			ǂk Form sub-heading	Mandatory
			ǂt Title (of work)	Mandatory
			* ǂl Language	Optional
			* ǂf Date (of work)	Optional
			* ǂp Part (of work)	Optional
110	Corporate name - Mandatory	First indicator:	ǂa Name	Mandatory
		0 - Surname (inverted)	ǂb Each subordinate unit	Mandatory
		1 - Place or place plus name	ǂe Relator	Required if available
		2 - Name (direct order) Second indicator:	ǂk Form sub-heading	Mandatory
		0 - m.e. is not subj. 1 - m.e. is subject	ǂt Title (of work)	Mandatory
			* ǂu Nonprinting	Omit
			* ǂl Language	Optional
			* ǂp Part (of work)	Optional
			* ǂf Date (of work)	Optional
			* ǂg Miscellaneous	Optional
111	Conference or meeting - Mandatory	First indicator:	ǂa Name	Mandatory
		0 - Surname (inverted)	ǂb Number	Mandatory
		1 - Place or place	ǂc Place	Mandatory
		plus name	ǂd Date	Mandatory
		2 - Name (direct order) Second indicator:	ǂe Subordinate unit in name	Mandatory
		0 - m.e. is not subj.	ǂg Miscellaneous	Optional
		1 - m.e. is subject	ǂk Form sub-heading	Mandatory
			ǂt Title (of work)	Mandatory
			* ǂf Publication date	Optional
			* ǂl Language	Optional
			* ǂp Part (of work)	Optional

* Subfield first defined in 5th edition of Books: A MARC Format. 1972.

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Main Entry			
130	Uniform title Heading - Mandatory	First indicator: b̸ - Blank Second indicator: 0 - m.e. is not subject 1 - m.e. is subject	ǂa Uniform title heading	Mandatory
			ǂt Title	Mandatory
			* ǂp Part (of work)	Optional
			* ǂf Date (of work)	Optional
			* ǂl Language	Optional
			* ǂk Form subheading	Mandatory
			* ǂs Version/alt. to version	Optional
			* ǂg Miscellaneous	Optional
			* ǂh Media qualifier	Optional
	Supplied Titles			
240	Uniform title - Required if available	First indicator: 0 - Not printed on LC cards 1 - Printed on LC cards Second indicator: 0 to 9 nonfiling characters (Omit)	ǂa Uniform title	Mandatory
			* ǂf Date (of work)	Optional
			* ǂk Form subheading	Mandatory
			* ǂp Part (of work)	Optional
			* ǂs Version	Optional
241	Romanized title - Optional	Indicators same as for 240 field	ǂa Romanized title	Optional
	Title Paragraph			
245	Title - Mandatory	First indicator: 0 - No title added entry 1 - Title added entry Second indicator: 0 to 9 nonfiling characters (Omit)	ǂa Short title	Mandatory
			ǂb Subtitle	Mandatory
			ǂc Remainder of title page transcription	Mandatory
250	Edition statement - Mandatory		ǂa Edition	Mandatory
			ǂb Additional information	Required if available
260	Imprint - Mandatory	First indicator: 0 - Publisher is not main entry 1 - Pub. is m.e.	ǂa Place	Mandatory
			ǂb Publisher	Mandatory
			ǂc Date	Mandatory

* Subfield first defined in 5th edition of Books: A MARC Format. 1972.

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Physical Description			
300	Collation - Mandatory		ǂa Pagination or volumes	Mandatory
			ǂb Illustration statement	Required if available
			ǂc Height	Required if available
350	Bibliographic price		ǂa	Omit

Series Statement. If the work being cataloged is part of a series, a series note is mandatory. Such a series note is provided by use of any 4xx field. If a tracing for a series added entry in exactly the same form as the series note is desired, a 400, 410, 411, or 440 field should be used. If a tracing for a series added entry is not desired, or if it is to be in a form different from that of the series note, a 490 field must be used.

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
400	Personal name-title (traced same) - Required if available	First indicator: 0 - Forename 1 - Single surname 2 - Multiple surname 3 - Name of family Second indicator: 0 - Author is not main entry 1 - Author is main entry	ǂa Name	Mandatory
			ǂb Numeration	Mandatory
			ǂc Titles & other words associated with name	Mandatory
			ǂd Dates	Mandatory
			ǂe Relator	Required if available
			ǂk Form subhead.	Mandatory
			ǂt Title (of work)	Mandatory
			* ǂl Language	Optional
			* ǂf Date (of work)	Optional
			* ǂp Part (of work)	Optional
			ǂv Volume or number	Mandatory
410	Corporate name-title (traced same) - Required if available	First indicator: 0 - Surname (inverted) 1 - Place or place plus name 2 - Name (direct order) Second indicator: 0 - Author is not main entry 1 - Author is main entry	ǂa Name	Mandatory
			ǂb Each subordinate unit	Mandatory
			ǂe Relator	Required if available
			ǂk Form subhead.	Mandatory
			ǂt Title (of work)	Mandatory
			* ǂu Nonprinting	Omit
			* ǂl Language	Optional
			* ǂp Part (of work)	Optional
			* ǂf Date (of work)	Optional
			* ǂg Miscellaneous	Optional
			ǂv Volume or no.	Mandatory
411	Conference or meeting title (traced same) - Required if available	First indicator: 0 - Surname (inverted) 1 - Place or place plus name 2 - Name (direct order) Second indicator: 0 - Author is not main entry 1 - Author is main entry	ǂa Name	Mandatory
			ǂb Number	Mandatory
			ǂc Place	Mandatory
			ǂd Date	Mandatory
			ǂe Each subordinate unit in name	Mandatory
			ǂg Miscellaneous	Optional
			ǂk Form subhead.	Mandatory
			ǂt Title (of work)	Mandatory
			* ǂf Pub. date	Optional
			* ǂl Language	Optional
			* ǂp Part (of work)	Optional
			ǂv Vol. or no.	Mandatory

* Subfield first defined in 5th edition of Books: A MARC Format. 1972.

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Series Statement (A 4xx field is Mandatory. May be 490 if tracing not used)			
440	Title (Traced same) - Required if available	First indicator: b̸ - Blank Second indicator: 0 to 9 nonfiling characters (Omit)	ǂa Title ǂv Volume or number	Mandatory Mandatory
490	Series untraced or traced differently - Mandatory if no other 4xx provided	First indicator: 0 - Series not traced 1 - Series traced in a different form	ǂa Series	Mandatory
	Bibliographic notes			
500	General note		ǂa General note	Optional
501	"Bound with" note		ǂa	Omit
502	Dissertation note		ǂa Dissertation note	Optional
503	Bibliographic history note		ǂa	Omit
504	Bibliography note		ǂa Bibliography note	Required if available
505	Contents note	First indicator: 0 - Contents (complete) 1 - Contents (incomplete) 2 - Partial contents	ǂa Contents note	Optional
520	Abstract or annotation		ǂa Abstract or annotation	Required if available
590	Local note		ǂa Local note	Optional
	Subject Added Entries			
600	Personal name - Mandatory	First indicator: 0 - Forename 1 - Single surname 2 - Multiple surname 3 - Name of family Second indicator: 0 - LC subject head. - Mandatory 1 - Annotated card program subj. head. - Required if available	ǂa Name ǂb Numeration ǂc Titles & other words associated with name ǂd Date ǂe Relator ǂk Form subhead. ǂt Title (of work) * ǂl Language * ǂf Date (of work)	Mandatory Mandatory Mandatory Mandatory Required if available Mandatory Mandatory Optional Optional

* Subfield first defined in 5th edition of Books: A MARC Format. 1972.

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Subject Added Entries			
600	Personal name (continued)	Second indicator: 2 - NLM subject head. - Required if available 3 - NAL subject head. - Omit 4 - Other subject heads. - Required if available	* ǂp Part (of work) ǂx General subdivision ǂy Period subdivision ǂz Place subdivision	Optional Mandatory Mandatory Mandatory
610	Corporate name - Mandatory	First indicator: 0 - Surname (inverted) 1 - Place or place plus name 2 - Name (direct order) Second indicator: 0 - LC subject head. - Mandatory 1 - AC program subject head. - Required if available 2 - NLM subject head. - Required if available 3 - NAL subject head. - Omit 4 - Other subject heads. - Required if available	ǂa Name ǂb Each subordinate unit ǂe Relator ǂk Form subhead. ǂt Title (of work) * ǂu Nonprinting * ǂl Language * ǂp Part (of work) * ǂf Date (of work) * ǂg Miscellaneous ǂx General subdivision ǂy Period subdivision ǂz Place subdivision	Mandatory Mandatory Required if available Mandatory Mandatory Omit Optional Optional Optional Optional Mandatory Mandatory Mandatory
611	Conference or meeting - Mandatory	First indicator: 0 - Surname (inverted) 1 - Place or place plus name 2 - Name (direct order) Second indicator: 0 - LC subject head. - Mandatory 1 - AC program subject head. - Required if available 2 - NLM subject head. - Required if available 3 - NAL subject head. - Omit 4 - Other subject heads. - Required if available	ǂa Name ǂb Number ǂc Place ǂd Date ǂe Each subordinate unit in name ǂg Miscellaneous ǂk Form subhead. ǂt Title (of work) * ǂf Publication date * ǂl Language * ǂp Part (of work) ǂx General subdivision ǂy Period subdivision ǂz Place subdivision	Mandatory Mandatory Mandatory Mandatory Mandatory Optional Mandatory Mandatory Optional Optional Optional Mandatory Mandatory Mandatory

* Subfield first defined in 5th edition of Books: A MARC Format. 1972

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Subject Added Entries			
630	Uniform title heading - Mandatory	First indicator: ƀ - Blank Second indicator: 0 - LC subject head. - Mandatory 1 - AC program subject head. - Required if available 2 - NLM subject head. - Required if available 3 - NAL subject head. - Omit 4 - Other subject heads. - Required if available	ǂa Uniform title heading ǂt Title * ǂp Part * ǂf Date (of work) * ǂl Language * ǂk Form subhead. * ǂs Version/alt. to version * ǂg Miscellaneous * ǂh Media qualifier ǂx General subdivision ǂy Period subdivision ǂz Place subdivision	Mandatory Mandatory Optional Optional Optional Mandatory Optional Optional Optional Mandatory Mandatory Mandatory
650	Topical subject - Mandatory	First indicator: ƀ - Blank Second indicator: 0 - LC subject head. - Mandatory 1 - AC program subject head. - Required if available 2 - NLM subject head. - Required if available 3 - NAL subject head. - Omit 4 - Other subject heads. - Required if available	ǂa Topical subject or place element ǂb Element following place element ǂx General subdivision ǂy Period subdivision ǂz Place subdivision	Mandatory Mandatory Mandatory Mandatory Mandatory
651	Geographic name - Mandatory	First indicator: ƀ - Blank Second indicator: 0 - LC subject head. - Mandatory 1 - AC program subject head. - Required if available 2 - NLM subject head. - Required if available 3 - NAL subject head. - Omit 4 - Other subject heads. - Required if available	ǂa Geographic name or place element ǂb Geographic element following place element ǂx General subdivision ǂy Period subdivision ǂz Place subdivision	Mandatory Mandatory Mandatory Mandatory Mandatory

* Subfield first defined in 5th edition of Books: A MARC Format. 1972.

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Subject Added Entries			
690	Local subject headings (Topical) - Optional		‡a Topical subject or place element	Mandatory
			‡b Element following place element	Mandatory
			‡x General subdivision	Mandatory
			‡y Period subdivision	Mandatory
			‡z Place subdivision	Mandatory
691	Local subject headings (Geographic) - Optional		‡a Geographic name or place element	Mandatory
			‡b Geographic element following place element	
			‡x General subdivision	Mandatory
			‡y Period subdivision	Mandatory
			‡z Place subdivision	Mandatory
	Other Added Entries			
700	Personal name - Required if available	First indicator: 0 - Forename 1 - Single surname 2 - Multiple surname 3 - Name of family Second indicator: 0 - Alternative entry 1 - Secondary entry 2 - Analytical entry	‡a Name	Mandatory
			‡b Numeration	Mandatory
			‡c Titles & other words associated with name	Mandatory
			‡d Date	Mandatory
			‡e Relator	Required if available
			‡k Form subhead.	Mandatory
			‡t Title (of work)	Mandatory
			* ‡l Language	Optional
			* ‡f Publication date	Optional
			* ‡p Part (of work)	Optional

* Subfield first defined in 5th edition of Books: A MARC Format. 1972.

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Other Added Entries			
710	Corporate name - Required if available	First indicator: 0 - Surname (inverted) 1 - Place or place plus name 2 - Name (direct order) Second indicator: 0 - Alternative entry 1 - Secondary entry 2 - Analytical entry	ǂa Name ǂb Each subordinate unit ǂe Relator ǂk Form subhead. ǂt Title (of work) * ǂu Nonprinting * ǂl Language * ǂp Part (of work) * ǂf Date (of work) * ǂg Miscellaneous	Mandatory Mandatory Required if available Mandatory Mandatory Omit Optional Optional Optional Optional
711	Conference or meeting - Required if available	First indicator: 0 - Surname (inverted) 1 - Place or place plus name 2 - Name (direct order) Second indicator: 0 - Alternative entry 1 - Secondary entry 2 - Analytical entry	ǂa Name ǂb Number ǂc Place ǂd Date ǂe Subordinate units ǂg Miscellaneous ǂk Form subhead. ǂt Title (of work) * ǂf Date (of work) * ǂl Language * ǂp Part (of work)	Mandatory Mandatory Mandatory Mandatory Mandatory Optional Mandatory Mandatory Optional Optional Optional
730	Uniform title - Required if available	First indicator: ƀ - Blank Second indicator: 0 - Alternative entry 1 - Secondary entry 2 - Analytical entry	ǂa Uniform title ǂt Title * ǂp Part (of work) * ǂf Date (of work) * ǂl Language * ǂk Form subhead. * ǂs Version/alt. to version * ǂg Miscellaneous * ǂh Media qualifier	Mandatory Mandatory Optional Optional Optional Mandatory Optional Optional Optional
740	Title traced differently - Required if available	First indicator: ƀ - Blank Second indicator: 0 - Alternative entry 1 - Secondary entry 2 - Analytical entry	ǂa Title traced differently	Mandatory

* Subfield first defined in 5th edition of Books: A MARC Format. 1972

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Series Added Entries			
800	Personal name-title - Optional	First indicator: 0 - Forename 1 - Single surname 2 - Multiple surname 3 - Name of family	ǂa Name	Mandatory
			ǂb Numeration	Mandatory
			ǂc Titles & other words associated with name	Mandatory
			ǂd Dates	Mandatory
			ǂe Relator	Required if available
			ǂk Form subhead.	Mandatory
			ǂt Title (of work)	Mandatory
			* ǂl Language	Optional
			* ǂf Date (of work)	Optional
			* ǂp Part (of work)	Optional
			ǂv Volume or number	Mandatory
810	Corporate name-title - Optional	First indicator: 0 - Surname (inverted) 1 - Place or place plus name 2 - Name (direct order)	ǂa Name	Mandatory
			ǂb Each subordinate unit	Mandatory
			ǂe Relator	Required if available
			ǂk Form subhead.	Mandatory
			ǂt Title (of work)	Mandatory
			* ǂu Nonprinting	Omit
			* ǂl Language	Optional
			* ǂp Part (of work)	Optional
			* ǂf Date (of work)	Optional
			* ǂg Miscellaneous	Optional
			ǂv Volume or number	Mandatory
811	Conference or meeting - Optional	First indicator: 0 - Surname (inverted) 1 - Place or place plus name 2 - Name (direct order)	ǂa Name	Mandatory
			ǂb Number	Mandatory
			ǂc Place	Mandatory
			ǂd Date	Mandatory
			ǂe Each subordinate unit	Mandatory
			ǂg Miscellaneous	Optional
			ǂk Form subhead.	Mandatory
			ǂt Title (of work)	Mandatory
			* ǂf Date (of work)	Optional
			* ǂl Language	Optional
			* ǂp Part (of work)	Optional
			ǂv Volume or number	Mandatory

* Subfield first defined in 5th edition of Books: A MARC Format. 1972

TAG	NAME	INDICATORS	SUBFIELD CODES	RECOMMENDATIONS
	Series Added Entries			
840	Title - Optional	First indicator: ɓ - Blank Second indicator: 0 to 9 nonfiling characters (Omit)	ǂa Title ǂv Volume or number	Mandatory Mandatory
	Local Fields			
910	User option data		ǂa User option data	Optional

XIII

THE TECHNICAL PROCESSING SYSTEM -
The Ohio College Library Center

The Ohio College Library Center
1314 Kinnear Road
Columbus, Ohio 43212
August 1972

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INTRODUCTION

The Technical Processing System in its entirety will consist of an acquisitions system including financial records and a monitor to issue notices to staff when items are delayed in acquisitions, serials, cataloging, or physical processing. The Center will not activate the monitor when TPS is first implemented.

The aim of the Technical Processing System is faster and more accurate processing of materials, reduction in personnel involved in technical processing, accumulation of data into one central record, and reduction of unnecessary duplication of materials among Member libraries.

DESCRIPTION OF THE SYSTEM

The system will initially encompass the following basic operations: 1) creation of the TPS record and production of purchase orders, 2) on-line update of records, 3) automatic claiming of overdue orders, and 4) production of accounting records.

There will be three major types of processes: 1) unitary procurement, 2) extended procurement, and 3) gifts. Unitary procurement ('u') constitutes the acquisition and processing of material as the result of an order for a single specific item. Multiple copies of an item, or multiple volumes of a completed set may be construed as unitary procurement. Extended procurement ('e') comprises subscriptions, standing orders, on approval orders, blanket orders, exchanges, and memberships in publications-producing groups. Gifts constitute those accessions that are unpredicted in their arrival and require no payment. They may be either 'unit' gifts ('ug') or 'extended' gifts ('eg'), such as gift subscriptions. In most cases 'exchange' materials will be treated as gifts since they require neither purchase order nor payment.

Treatment of material received as the result of a membership will be determined by the nature of the publication and internal library policy. For example: if the major publication received through a membership is a serial, it could be treated as a regular subscription with the membership fee construed as the cost of the subscription; ancillary subscriptions or separate works, sent to members at no additional cost, might be treated as gifts. A membership providing primarily non-serial items might be handled as a standing order.

Periodically, the on-line system will be purged of completed TPS records identified as unitary procurement ('u' or 'ug'). TPS records will be expunged from the on-line file only after an order has been canceled or when all of the following requisites have been met: 1) the material has been received, 2) the invoice has been approved for payment, and 3) the record has been updated to the status of a catalog record, or retired to the archive file by the library, if the item is not to be cataloged. To retire a record to the archive file, call up the record and type 'archive' on the top line of the screen, then UPDATE and SEND.

Records purged from the on-line file will be retained on archive tape for a specified period of time.

Records identified as extended procurement ('e' or 'eg') will remain in the system until the order is canceled and the record retired by the library.

If the vendor cancels an order for any reason, type 'canc' onto the TPS screen following the ~~P.O.~~ order number, then UPDATE and SEND. If the Library cancels an order and needs to have a cancellation notice sent to the vendor, type 'canc' after the ~~P.O.~~ order number, then PRODUCE and SEND. In either case the computer will respond by reversing the encumbrance for the item canceled and recording the date of cancellation. If desired, the reason for the cancellation may be noted in 'Rmks'.

The system will maintain a Vendor File designed to include as many addresses for each vendor as required. Commonly used vendors will be identified by mnemonic codes to limit typing and to reduce confusion between vendors with similar names. Print-out copies of the Vendor File will be distributed to Member libraries for reference.

The system will also maintain a file of mailing addresses for branch or departmental libraries that receive direct mailing from vendors.

The system will yield four varieties of products: 1) on-line CRT screen displays, 2) printed forms, 3) computer print-outs, and 4) machine readable reports

The products and procedures described herein will be operational at the time the Technical Processing System is implemented. Other products, to be added following implementation, have been enumerated on pages 56 to 59.

ON-LINE SCREEN DISPLAYS

There will be a separate screen display for each 'in-process' order. The screen display will provide a specific space or 'field' in which to enter each data element relative to the processing of the order, and the actual order will be created from the data entered therein.

A TPS record will be retrievable by the library's order number, the OCLC control number, and by the author-title and title search keys. The terms 'author' and 'title' have been used broadly to refer to the data entered in fields 1 and 2 of the TPS screen (see p. 6), whether or not that data is actually an author's name or the title of a work. For example, in the case of standing orders, on approval orders, and blanket orders, the operator will enter the vendor name or code in field 1 ('Auth') of the TPS screen, and the name of the order plan in field 2 ('Titl'). Therefore, the search keys for a standing -, on approval -, or blanket order will be built on the data in fields 1 and 2 rather than on a specific author and title.

The system will maintain indexes to access not only the records but also the particular data within each record that is needed for reports and listings.

The Commitment Register Summaries will also be displayed on the CRT screen and will be accessed by the account or fund number. The registers will be current according to the latest data transmitted to the computer. (See Figure 8, page 48.)

Another screen display has been designed for inputing account and fund allocations. (See Figure 5, page 42.)

```
        Type:        OCLC#: P
*        Cat: P
*         IP: P
*     1 Auth: ‡h P
*     2 Titl: ‡c  ‡h P
**    3 Edit: P
**    4  PPD: P
*     5 Freq: P
*     6  Ser: P
*     7  ISN: P
*     8 Vols: P
      9 Cops: P
     10 Ord#: P
     11 Term: P
     12 Rnwl: P
     13 Vndr: ‡b  ‡c P
*    14 EsPr: P
     15 Acct: ‡b P
     16 Fund: ‡b P
#    17 Dats: ‡b P
     18 Rqtr: ‡b  ‡c P
     19 Dstn: ‡b P
#    20 OrCl: P
     21 Invc: ‡b P
     22 Cost: ‡b  ‡c P
#    23 InCl: P
     24 InOK: ‡b P
     25 Rmks: 1.Rush  2.Replacement  3.O-f-stock  4.O-f-print  5.Other P
     26 Inst: P
```

* Those items supplied automatically from an existing record.

** Those items which, if changed, constitute a new record.

# Data that is computer-produced.

FIGURE 1 Screen Display for Technical Processing

Following is a field by field description of the Screen Display for Technical Processing:

Type: Type of acquisition. The following codes will apply:
- u - unitary procurement
- e - extended procurement
- ug - unit gift
- eg - extended gift (subscription)

Cat: Symbols for libraries having the cataloged title.

IP: Symbols for libraries having the title in-process.

1 Auth: Main entry, verified if possible, with the source of authority identified in subfield 'h'. For the parent record of a standing -, on approval -, or blanket order, enter the vendor name in this field.

2 Titl: Title, verified if possible, with the source of authority identified in subfield 'h'. For state contracts, enter Class Item No. in subfield 'c'. On the parent record of a standing -, on approval -, or blanket order, enter the name of the order plan in this field.

3 Edit: Edition. Unless a specific edition is entered, the purchase order will indicate 'lastest edition'.

4 PPD: Place; publisher; date of publication.

5 Freq: Frequency of publication, for subscriptions and standing orders.

6 Ser: Series

7 ISN: International standard book or serial number.

8 Vols: Specific volume numbers (v.3, v.7, or v.3-8) or the total volumes (8v.) if the order is for an entire set.

9 Cops: Number of copies requested on one order.

10 Ord#: Order number. If a library uses only one range of sequential order numbers, the computer will assign the numbers automatically.

11 Term: Length of subscription. Enter the expiration date of the subscription in subfield 'a'. This date will be used by the system to generate automatic renewals. Use subfield 'b' to record, in the most appropriate terms, the actual length of the subscription; for example: 3 yrs.; Sept.1,1972-Aug.30,1973; vol.10; til forbid, etc.

12 Rnwl: Renewal. If automatic renewal is not desired, type 'no' in this field. If no date is recorded in this field, renewal will be automatic until canceled and 'Renewal' will be printed on subsequent orders.

13 Vndr: Vendor. Enter the vendor's name or code. Use subfield 'b' for vendor account or customer number, and subfield 'c' for vendor contract number or state contract number. (The state contract number will be supplied automatically by the computer, for the state institutions.) When an order, usually a subscription, is placed through a dealer, but is to be claimed from the publisher or other

distributor, enter, in subjield 'x', the code name for the organization to whom the claim is to be sent. If that organization is not in the vendor address file, enter the complete name and address.

14 EsPr: Estimated or list price. Enter the unit price unless several volumes of a set are ordered on a single order, in which case, enter the total

price for all volumes ordered on one order. The amount encumbered will be the recorded price multiplied by the number of copies requested on the same order. If a quotation is desired, enter 'Please quote' in this field rather than a price. 'Please quote' will be printed on the order in the space marked 'Estimated Price'.

15 Acct: If an item is charged against a single account, only the account number need be entered. However, if the price is divided between two or more accounts. enter each account number in an 'a' subfield (the first 'a' subfield code is implicit) followed by a 'b' subfield containing the amount charged to the respective account. (e.g., Acct: 574362 ‡ $100.00 ‡a 967843 ‡b $45.50) When the invoice is received, if the actual cost is different from the estimated price, change the amount recorded in the 'b' subfields accordingly.

16 Fund: Same as above except for fund.

17 Dats: When a record is created, the computer will supply the date automatically. When the material is received, type 'r' in the 'b' subfield and the computer will again supply the date. In the case of partial receipt, input the volume identification following the 'r'.

18 Rqtr: The name of the individual who requested the item. If more than one person is responsible for originating a request and each is to be notified when the material becomes available, enter the additional name(s) in subfield 'b'. More than one 'b' subfield may be used if required. Subfield 'c' will be reserved for the name of the donor of a gift.

19 Dsnt: Destination. In subfield 'a', input the symbol for the branch or departmental library where the material is to be housed (the 'circulating library'). If the material is to be shipped from the vendor directly to a branch location (the 'processing library'), enter the symbol for the receiving library in subfield 'b'. The symbols now used for the 'holding library' will apply. In either subfield, the absence of data will indicate a default to the main library.

20 OrCl: Order claimed. When a claim notice is produced, the system will enter the date of the claim automatically. If more than one claim is sent, the date of each will be displayed.

21 Invc: When the invoice is received, input the invoice number and the computer will record the date it is entered into the system. If the vendor does not supply an invoice number, substitute the date that appears on the invoice for the invoice number. If the invoice is held for any reason, enter that information in subfield 'b'.

22 Cost: The actual cost of an item. When postage, handling, and insurance are funded separately, enter the amount(s) in subfield 'b'. Use subfield 'c' for other data related to the cost, including credit information.

23 InCl: Invoice claimed. If an invoice has not been received within a specified period following receipt of the material, the computer will generate a claim notice, and the date of the claim will be displayed. Invoices for 'til forbid' subscriptions will be claimed if not received within thirteen months after the previous invoice date.

24 InOK: When an invoice is approved for payment, type 'a' in this field and the system will record the date and the initials of the operator. Record partial payment in subfield 'b'.

25 Rmks: Remarks. To indicate the application of any of the remarks displayed in this field, replace the number preceding the remark with an 'x', if the information is for internal use only, or with a 'p', if the remark is to be printed on the order. If additional remarks are entered after '5.Other', preface each separate remark with the appropriate 'x' or 'p'.

26 Inst: Instructions to vendor. This field will be used to supply 'fill-in' data for some of the instructions printed on the order form. Key in the number of the instruction followed by the fill-in data.

UNITARY PROCUREMENT

When a request is received by a library acquisitions department, first search via the terminal and elsewhere to determine whether or not the title is already in the library or currently on order. Until a library has completed retrospective conversion of its holdings to the system, it will be necessary to search the card catalog as well as the data base. A search of the outstanding order file may also be required until all orders placed through the manual system have been filled. If the title is already in the local library, and it is not desirable to purchase a duplicate, notify the requester to that effect.

After the decision has been made to purchase an item, and the Fund and Vendor have been assigned, the CRT operator, logged into the TPS mode, will type the author-title or title search key. If the work is in the system, either as a Catalog record or as a TPS record, the usable data will be displayed on a TPS workform. (See page 6) 'Usable' data includes any or all of the following elements: author, title, edition, place, publisher, date of publication, frequency of issue, series, standard book or serial number, number of volumes of a set, and the list price.

Examine the data displayed and edit it where necessary to agree in detail with the work desired. Make changes by inserting additional information, or by deleting or typing over existing information.[1] After changing a field, depress ADVANCE LINE and SEND to communicate the change to the computer.

When the existing data is satisfactory, proceed to enter the data in the other fields required to complete the order, and SEND each field. When the order is complete and all fields have been sent, depress PRODUCE and SEND.

If no record is displayed in response to either the title or author-title search key, request a workform by keying in 'twf', and proceed to enter and SEND all pertinent data, field by field, until the order is complete, then depress PRODUCE and SEND. In response to the PRODUCE command, a multiple copy order will be produced, two copies of which will be sent to the specified vendor and the remaining copies to the library. The system will provide a technique by which a library can override the sending of copies of an order to the vendor and, instead, route all copies of that order to the library, as will be necessary when payment must accompany the order.

If there is no record in the data base for an item being ordered, enter the source(s) used to verify the author and title in subfield 'h' of the respective fields.

When pre-payment is required or when an order is charged against a deposit account, enter the amount in field 22 ('Cost') rather than in field 14 ('Pric').

Figure 2, beginning on the following page, illustrates, in flowchart form, the procedures for unitary procurement.

---

[1] For details on the operation of the CRT terminal, refer to: Cataloging on a Cathode Ray Tube Terminal, Ohio College Library Center, June 1971, pp. 11-23.

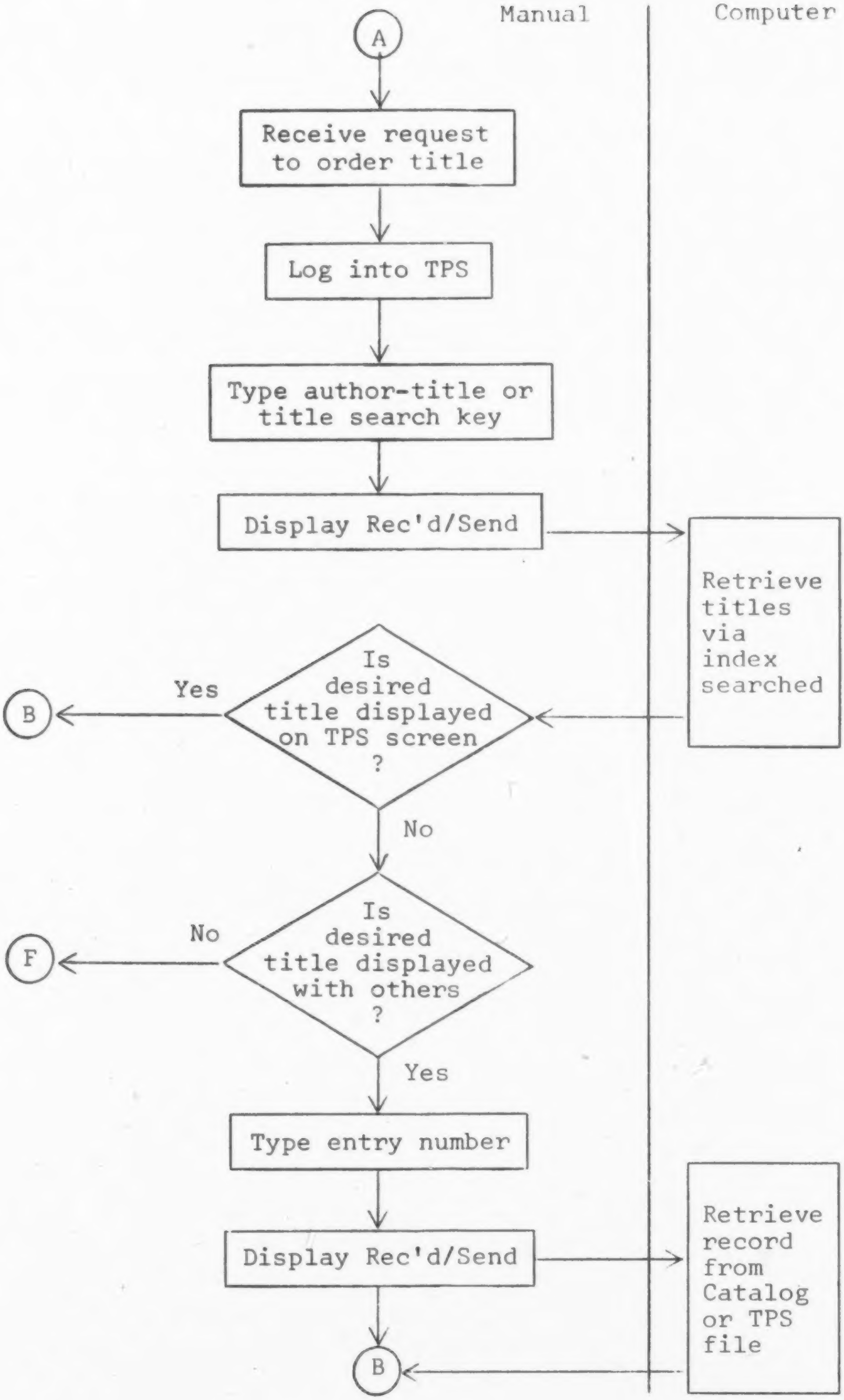

Manual
Computer
A
Receive request to order title
Log into TPS
Type author-title or title search key
Display Rec'd/Send
Retrieve titles via index searched
Is desired title displayed on TPS screen ?
Yes
B
No
Is desired title displayed with others ?
No
F
Yes
Type entry number
Display Rec'd/Send
Retrieve record from Catalog or TPS file
B

FIGURE 2 Flowchart for Unitary Procurement

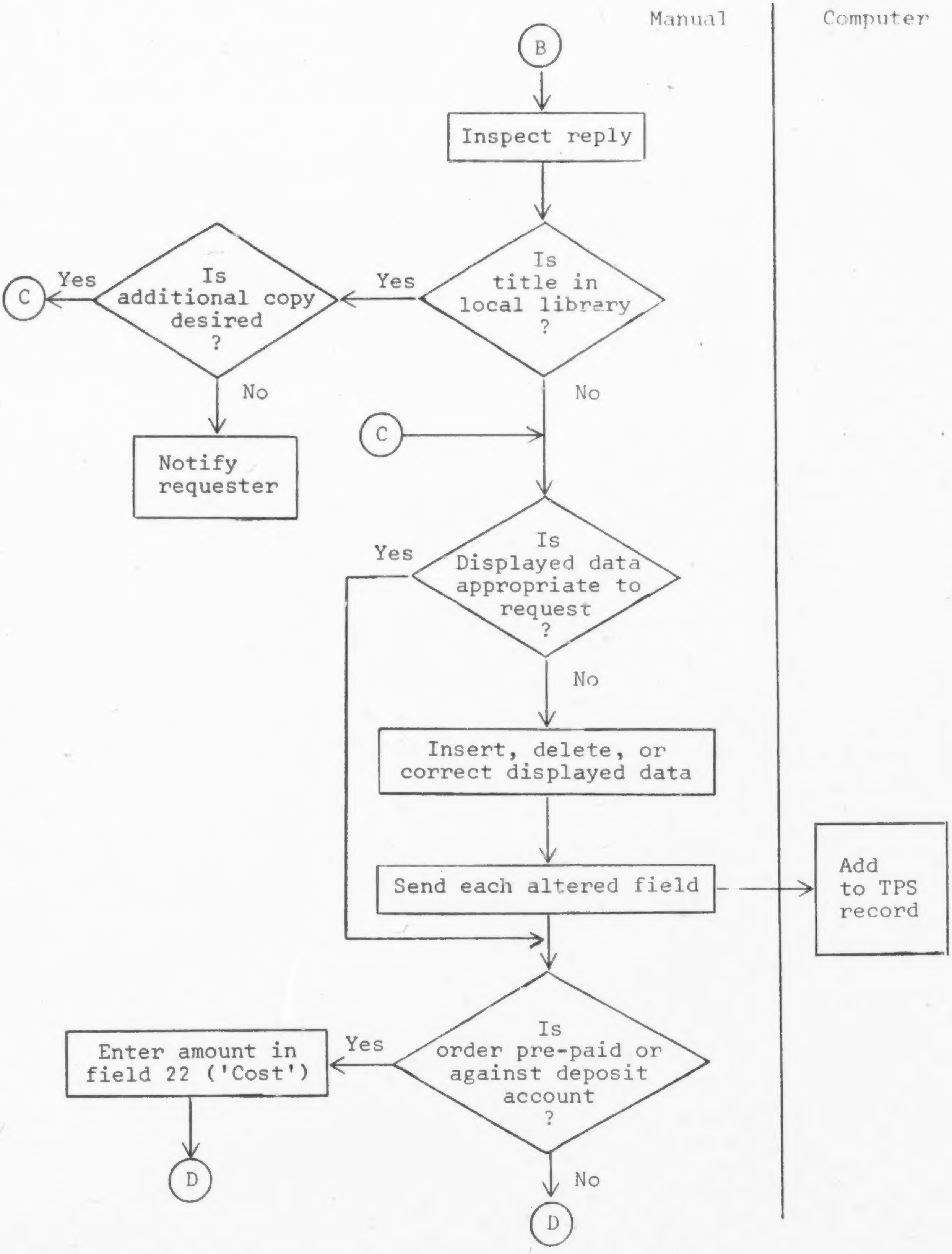

Manual
Computer
B
Inspect reply
Is title in local library ?
Yes
No
Is additional copy desired ?
Yes
C
No
Notify requester
C
Is Displayed data appropriate to request ?
Yes
No
Insert, delete, or correct displayed data
Send each altered field
Add to TPS record
Is order pre-paid or against deposit account ?
Yes
Enter amount in field 22 ('Cost')
D
No
D

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

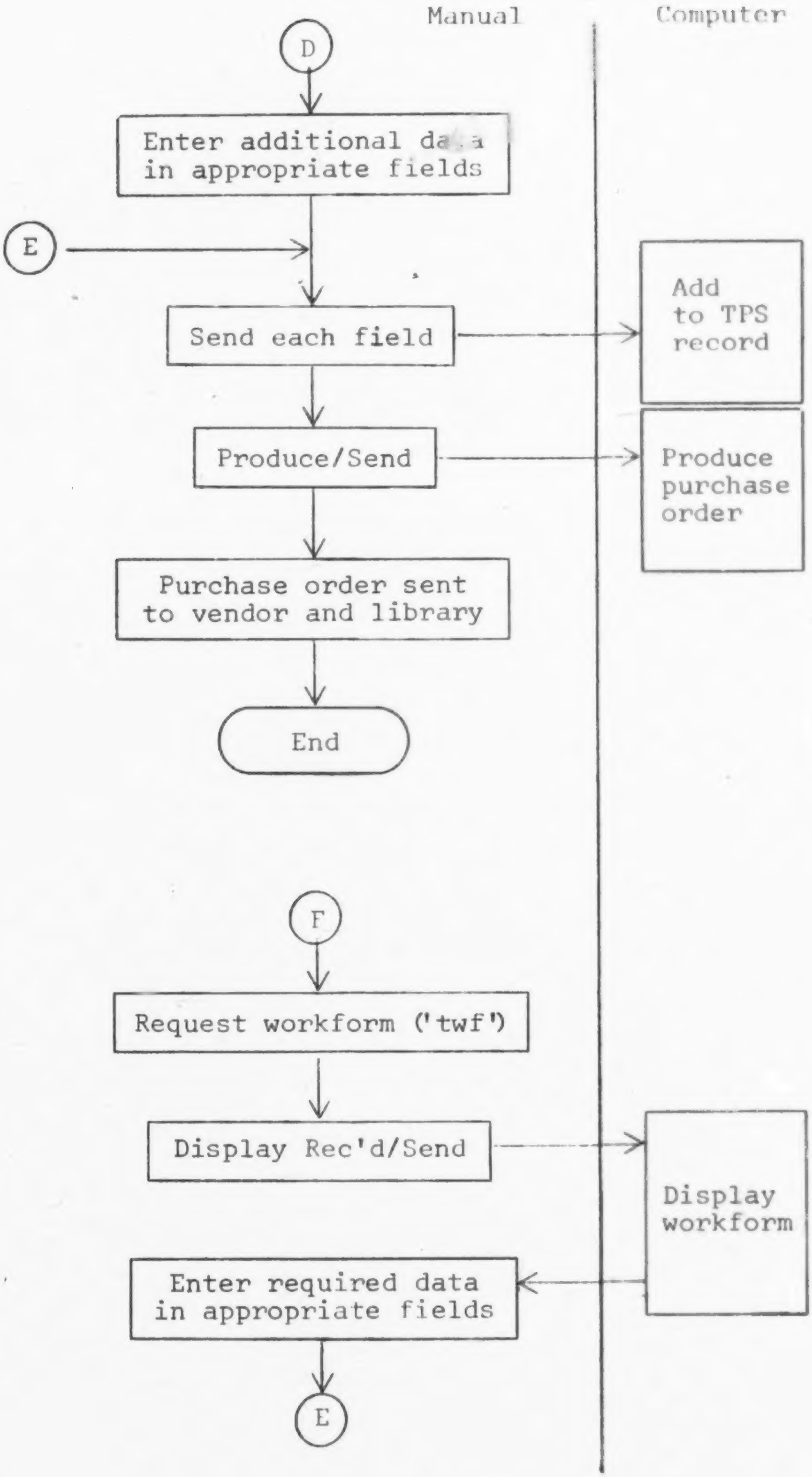

Manual
Computer
D
Enter additional data in appropriate fields
E
Send each field
Add to TPS record
Produce/Send
Produce purchase order
Purchase order sent to vendor and library
End
F
Request workform ('twf')
Display Rec'd/Send
Display workform
Enter required data in appropriate fields
E

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

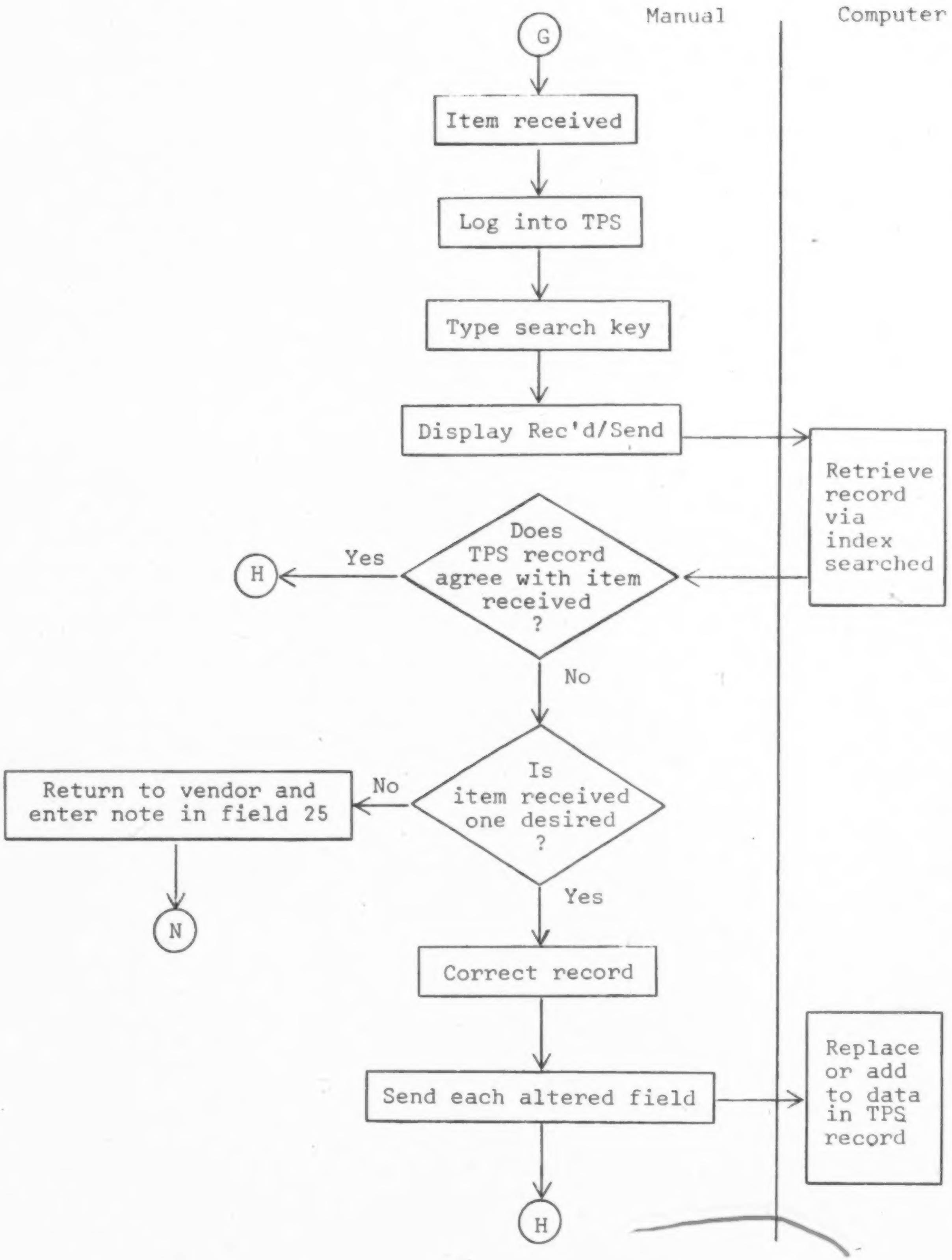

Manual
Computer
G
Item received
Log into TPS
Type search key
Display Rec'd/Send
Retrieve record via index searched
Does TPS record agree with item received ?
Yes
H
No
Is item received one desired ?
No
Return to vendor and enter note in field 25
N
Yes
Correct record
Send each altered field
Replace or add to data in TPS record
H

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

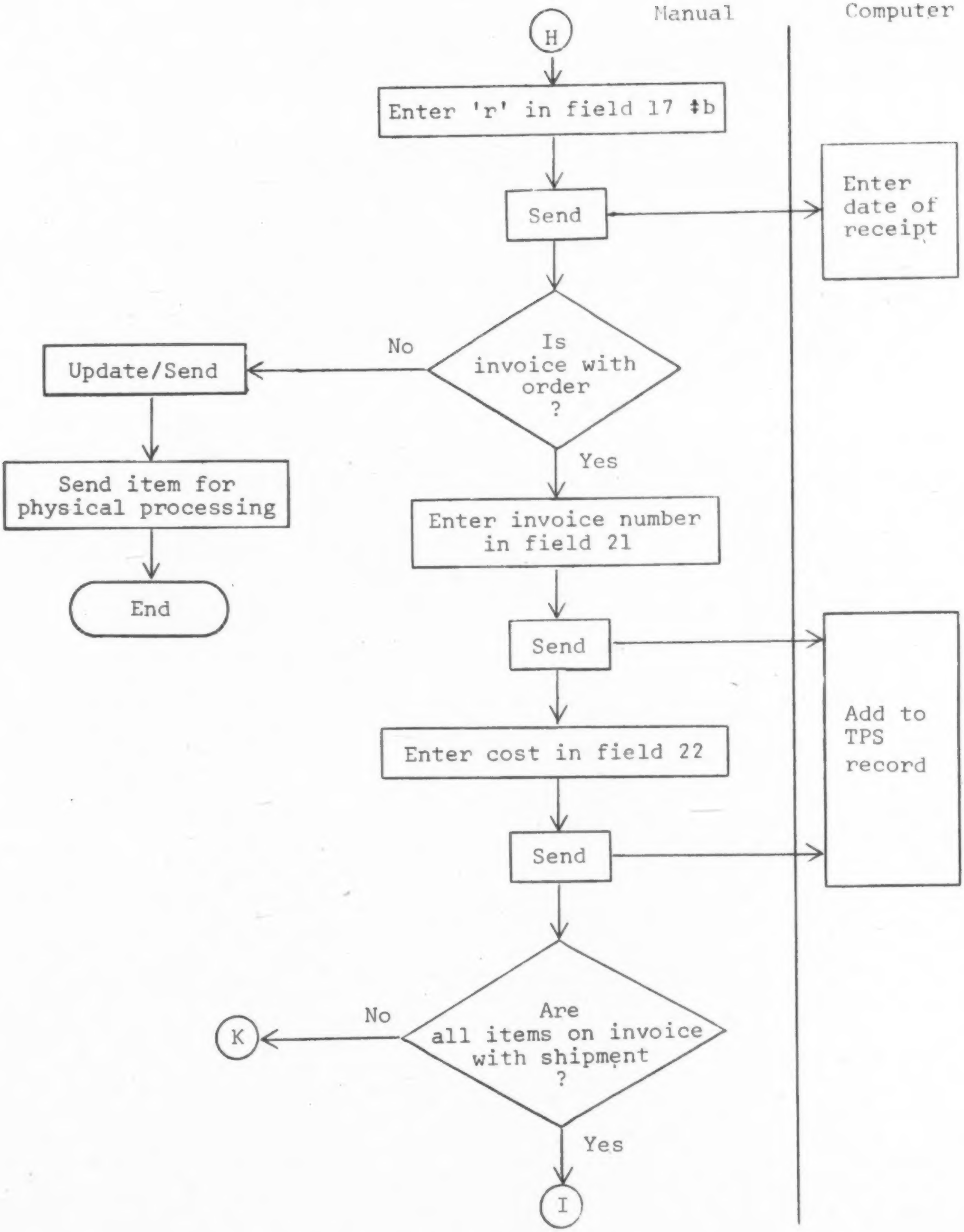

Manual
Computer
H
Enter 'r' in field 17 ‡b
Send
Enter date of receipt
Is invoice with order ?
No
Yes
Update/Send
Send item for physical processing
End
Enter invoice number in field 21
Send
Add to TPS record
Enter cost in field 22
Send
Are all items on invoice with shipment ?
No
Yes
K
I

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

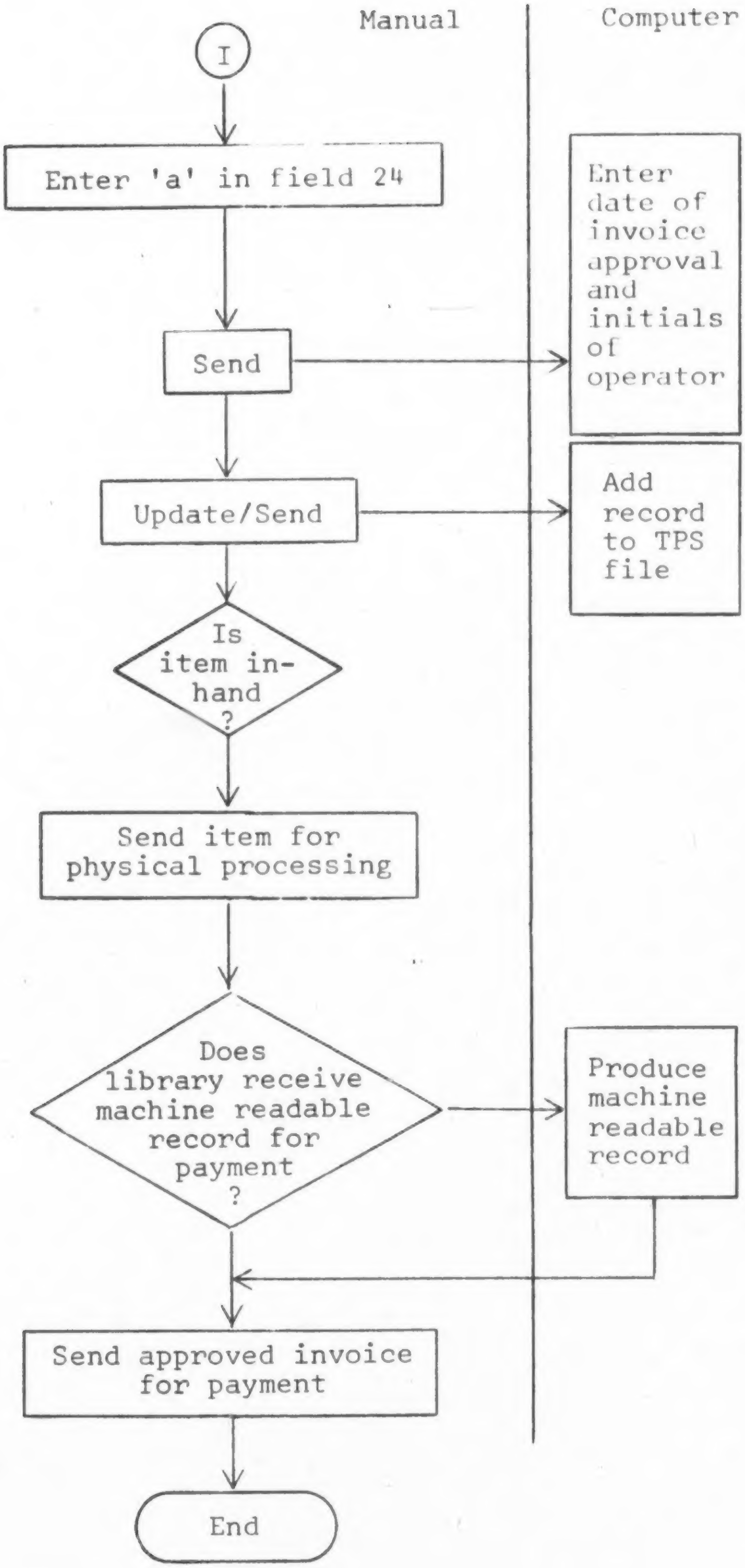

Manual
Computer
I
Enter 'a' in field 24
Send
Enter date of invoice approval and initials of operator
Update/Send
Add record to TPS file
Is item in-hand ?
Send item for physical processing
Does library receive machine readable record for payment ?
Produce machine readable record
Send approved invoice for payment
End

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

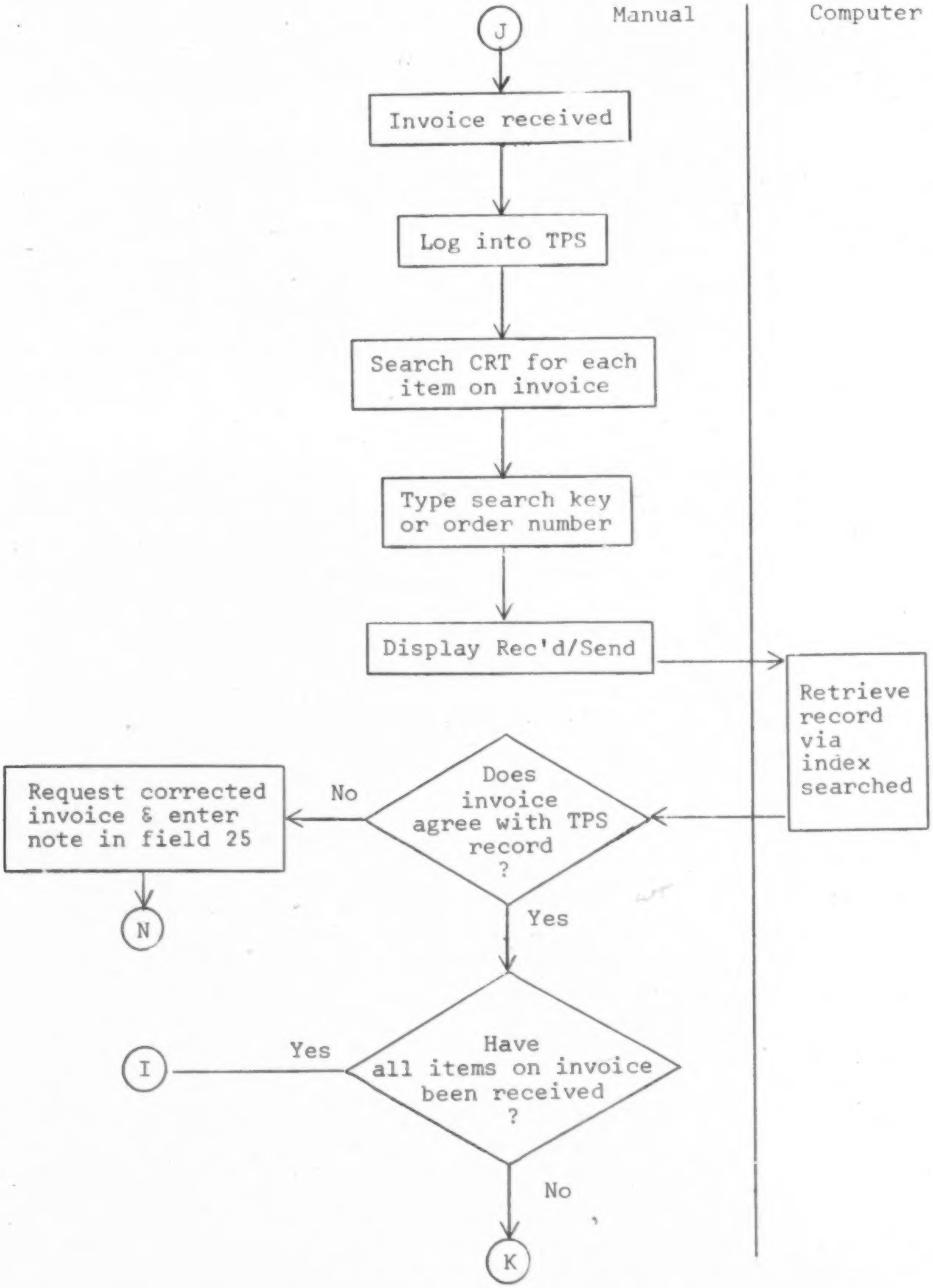
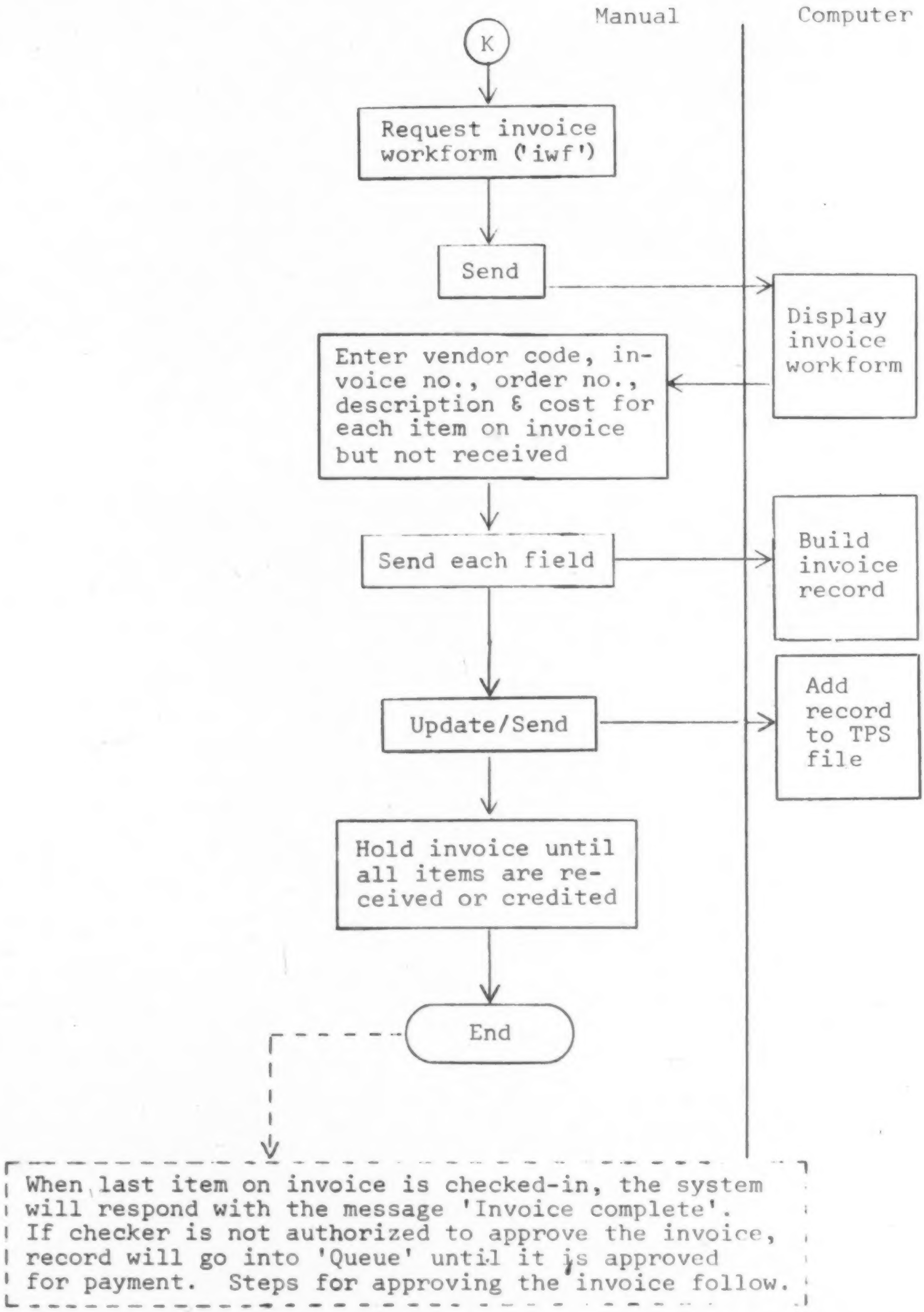

Manual
Computer
J
Invoice received
Log into TPS
Search CRT for each item on invoice
Type search key or order number
Display Rec'd/Send
Retrieve record via index searched
Does invoice agree with TPS record ?
No
Request corrected invoice & enter note in field 25
N
Yes
Have all items on invoice been received ?
Yes
I
No
K

FIGURE 2. Flowchart for Unitary Procurement - Cont'd.


Manual
Computer
K
Request invoice workform ('iwf')
Send
Display invoice workform
Enter vendor code, invoice no., order no., description & cost for each item on invoice but not received
Send each field
Build invoice record
Update/Send
Add record to TPS file
Hold invoice until all items are received or credited
End

When last item on invoice is checked-in, the system will respond with the message 'Invoice complete'. If checker is not authorized to approve the invoice, record will go into 'Queue' until it is approved for payment. Steps for approving the invoice follow.

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

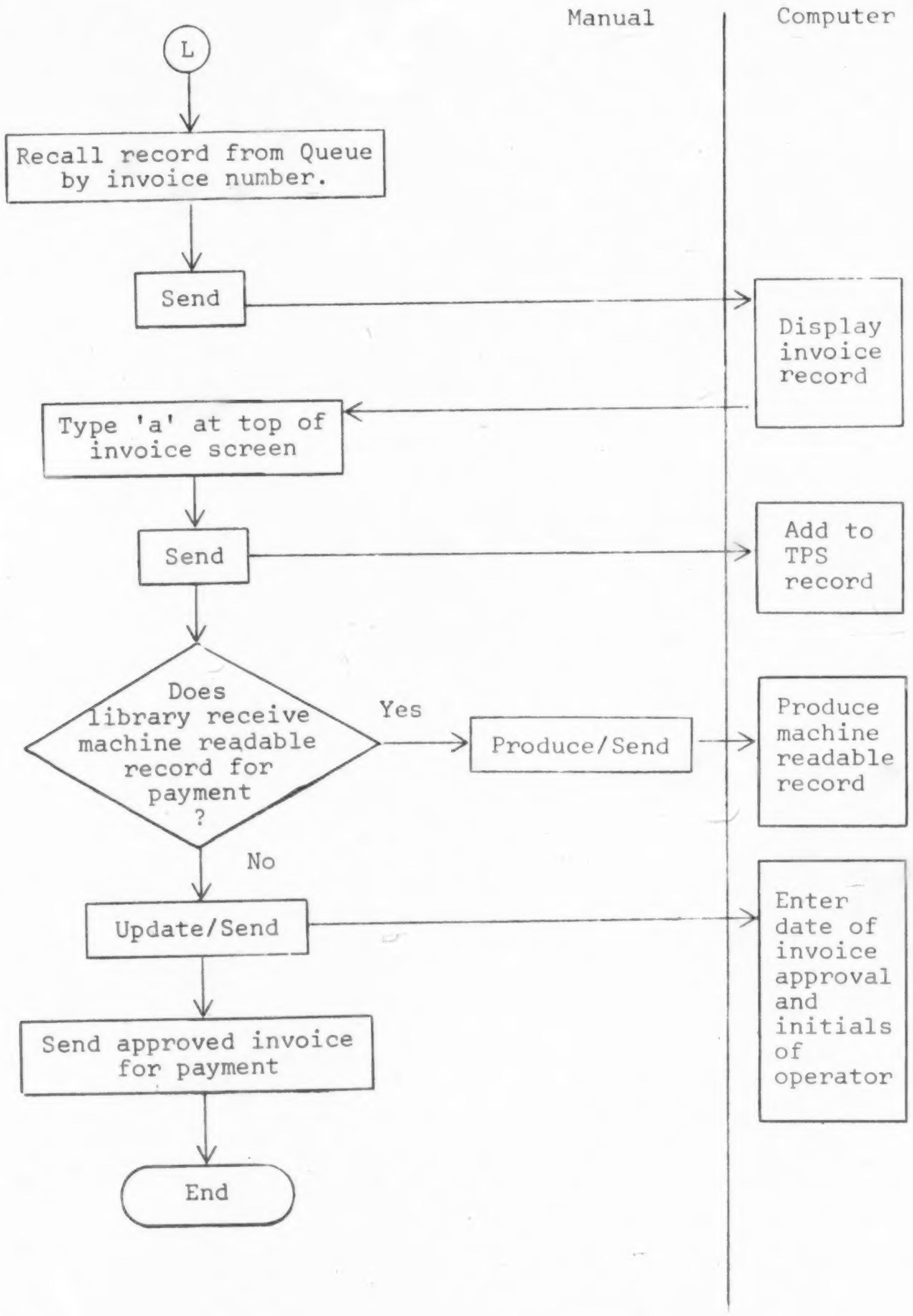

Manual
Computer
L
Recall record from Queue by invoice number.
Send
Display invoice record
Type 'a' at top of invoice screen
Send
Add to TPS record
Does library receive machine readable record for payment ?
Yes
Produce/Send
Produce machine readable record
No
Update/Send
Enter date of invoice approval and initials of operator
Send approved invoice for payment
End

FIGURE 2 Flowchart for Unitary Procurement - Cont'd.

EXTENDED PROCUREMENT

Since the terms identifying the various types of extended procurement are often used interchangeably, definitions of the terms as applied in this document are given below:

Subscription: an order for a continuing publication that is issued more or less regularly, usually more than once a year. Billing is usually for the entire term of the subscription and submitted in advance of fulfillment.

Continuation: an order for a series or set, usually issued irregularly or infrequently, the individual parts of which are supplied and billed as published.

Standing order: an order for all, or part, of the forthcoming publications of a publisher of specialized materials, such as an association, a school, a museum, etc.

On approval plan: an order for materials to be supplied by a vendor according to the specifications and delimitations of the library. These materials are subject to review and return by the library.

Blanket order: an order for special materials, to be selected according to qualifications outlined by the library, by a vendor acting as the library's agent. Returns are usually not acceptable.

A TPS record, designated as extended procurement ('e'), will remain in the on-line system for renewing and accounting transactions as long as the order remains in effect.

Figure 3, beginning on page 28, illustrates in flowchart form the extended procurement procedures for standing orders, on approval orders, and blanket orders.

Subscriptions

The procedure for ordering a 'new' subscription will be virtually the same as described for unitary procurement. Certain data, not applicable to unitary procurement will be needed for a subscription order, namely: frequency of issue, length or term of subscription, and renewal information. Depending upon the policy of the library (and the vendor), a renewal may be issued automatically by the system prior to the expiration date, or the vendor may renew automatically until he receives a notice to cancel. When renewal is automatic, the computer will encumber the amount paid for the previous year's subscription. When the system generates an order for renewal, the standard multiple copy order form will be used, with 'Renewal' printed after the descriptive data.

After receipt of the first issue has been acknowledged through TPS, to satisfy the system that no claim is required on the order, subsequent issues will be checked-in and claimed through the Serials Control System.

Continuations

Again, the order procedure described for unitary procurement will apply for a 'new' continuation order with the following exception. If the order is for a monographic series, the series (main entry and title or title only) will be entered in fields 1 and 2 as author and title rather than in field 6 as series.

If the individual parts, received on a continuation order, bear some kind of sequencing identification, each item may be checked-in and/or claimed through the Serials Control System as a 'serial'. However, if the separate volumes are not identifiable by a sequential arrangement, a record must be established for each item received, as described below for materials received through standing, on approval, and blanket orders.

Standing Orders, On Approval Orders & Blanket Orders

When entering standing, on approval, and blanket orders, no preliminary search of the data base is necessary. Request a workform ('twf'), indicate the type of acquisition, input the vendor code and the name of the order plan in fields 1 and 2 respectively, and fill in the other appropriate fields beginning with field 10 on the TPS screen. SEND each field, then depress UPDATE and SEND to add the record to the TPS file.

When materials are received through any of these plans, or through a continuation order, search each title via the CRT and other files to ascertain 1) if the title is already in the library, 2) if the title is in-process, or 3) if the title is in the system. Duplicates received as part of an on approval shipment may be set aside for a decision to keep or return.

If the title is in the system, the data will be displayed on the TPS screen. If necessary, edit the data to agree with the item received and enter the additional data required. If the title is not in the data base, create a new record, entering all pertinent data. The record for the individual item must include the order number of the parent order. SEND each field that is altered or added, then depress UPDATE and SEND to add the record to the TPS file without producing an order. If the library wants to receive copies of the order, depress PRODUCE (instead of UPDATE) and SEND and override the mailing to the vendor.

The parent order record will be retrievable by a standard 3,3 key created from the data in fields 1 and 2 (vendor and name of the order plan), and by order number.

When the invoice is received, local library practice will determine the treatment of the data. If a record of total expenditures for various open-ended orders is sufficient for the library's needs, enter the invoice number and the total amount of the invoice on the parent order record. If, however, a record of titles received through each open-ended order is required, enter the invoice number and the cost of each item on the record for the respective item.

Library practice will also determine whether the cost of items, included on the invoice but not received or not kept, is deducted from the total amount specified on the invoice, thereby permitting immediate approval of the invoice, or whether the invoice is held until a credit is received from the vendor.

GIFTS

The same procedures described under unitary procurement and under subscriptions and continuations will apply for gifts, depending upon the nature of the gift. Unless the library needs copies of an order form for gift acquisitions, use UPDATE and SEND instead of PRODUCE and SEND to add the record to the TPS file.

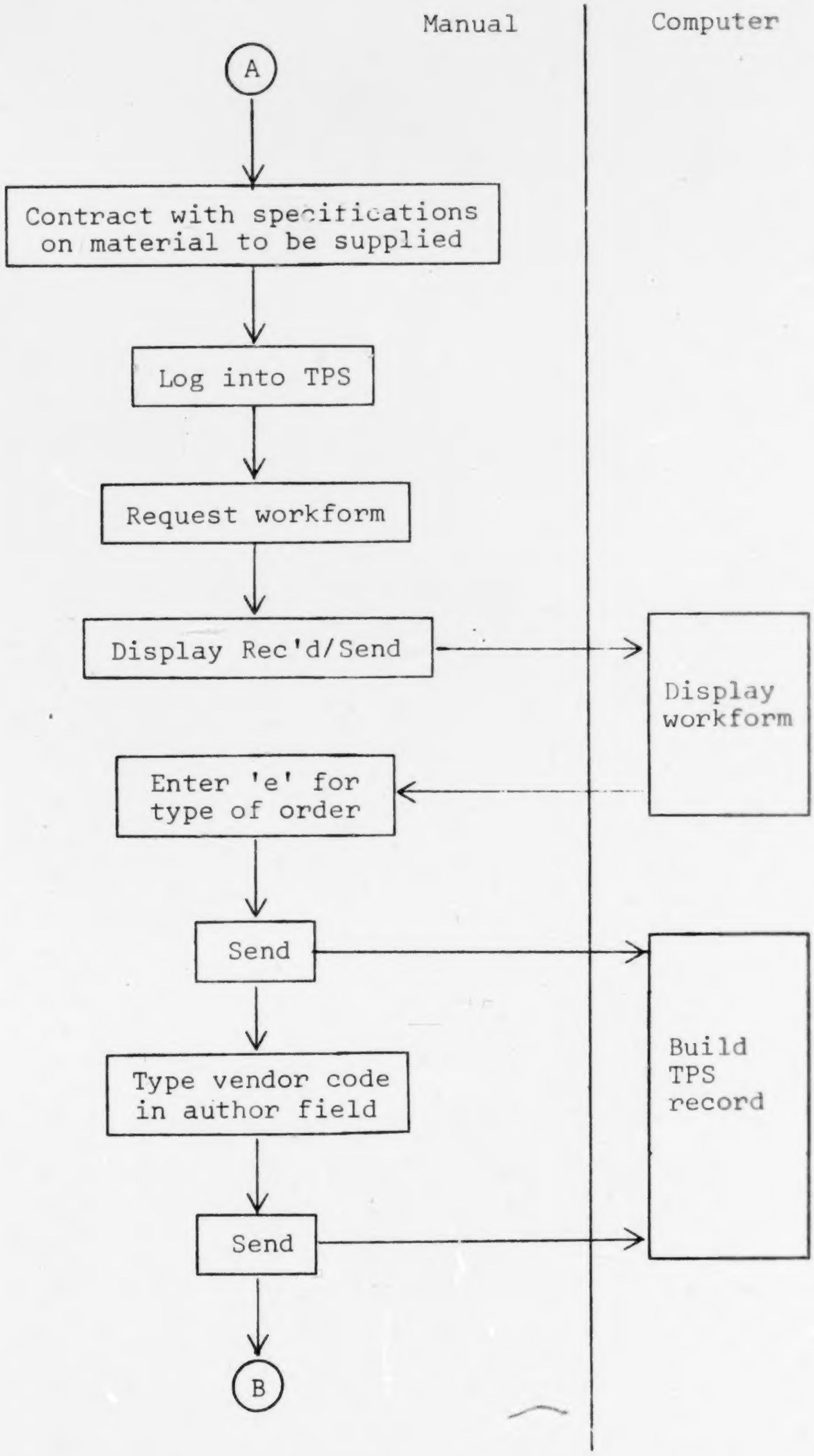

Manual
Computer
A
Contract with specifications on material to be supplied
Log into TPS
Request workform
Display Rec'd/Send
Display workform
Enter 'e' for type of order
Send
Build TPS record
Type vendor code in author field
Send
B

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders

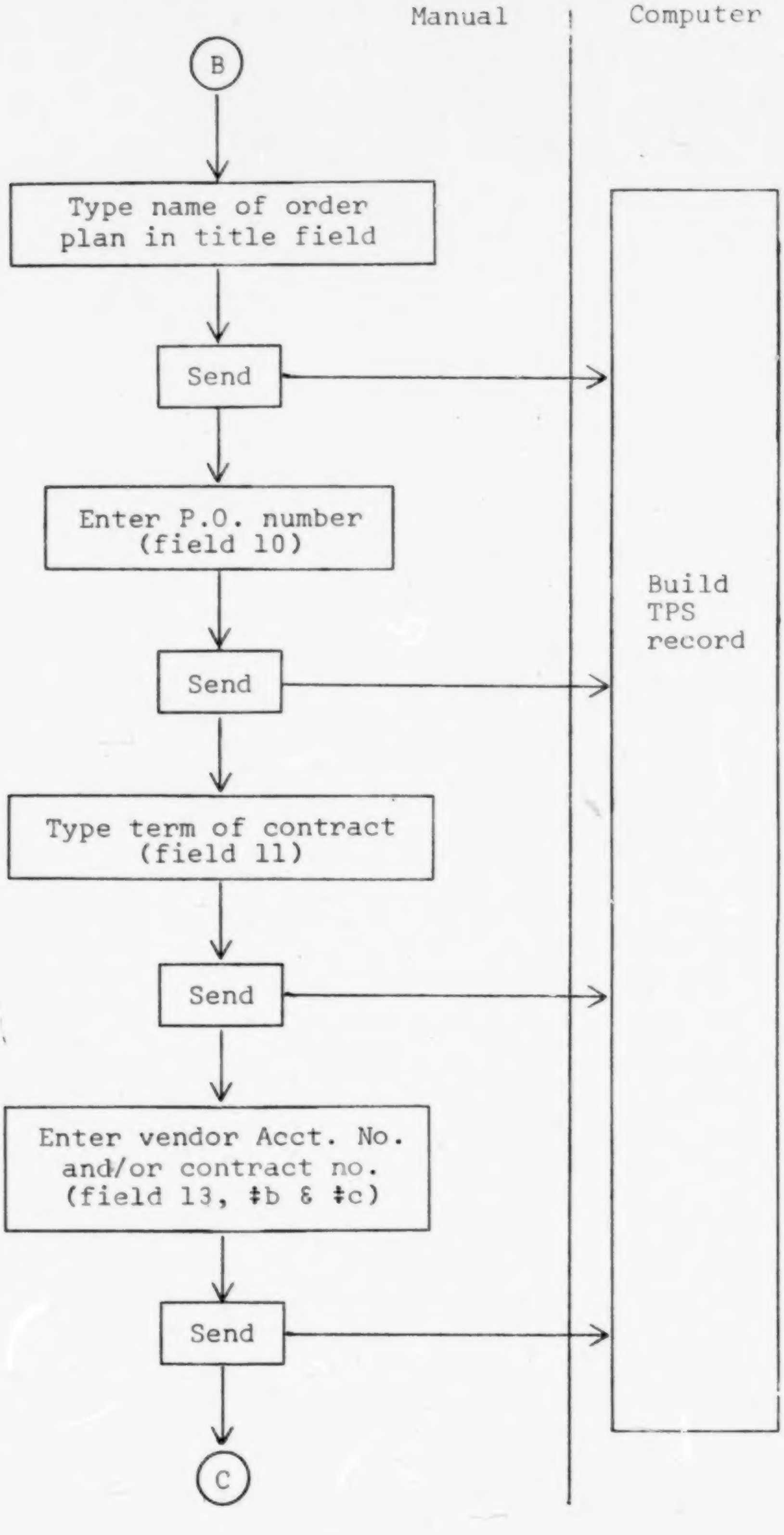

Manual
Computer
B
Type name of order plan in title field
Send
Enter P.O. number (field 10)
Send
Type term of contract (field 11)
Send
Enter vendor Acct. No. and/or contract no. (field 13, ‡b & ‡c)
Send
C
Build TPS record

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

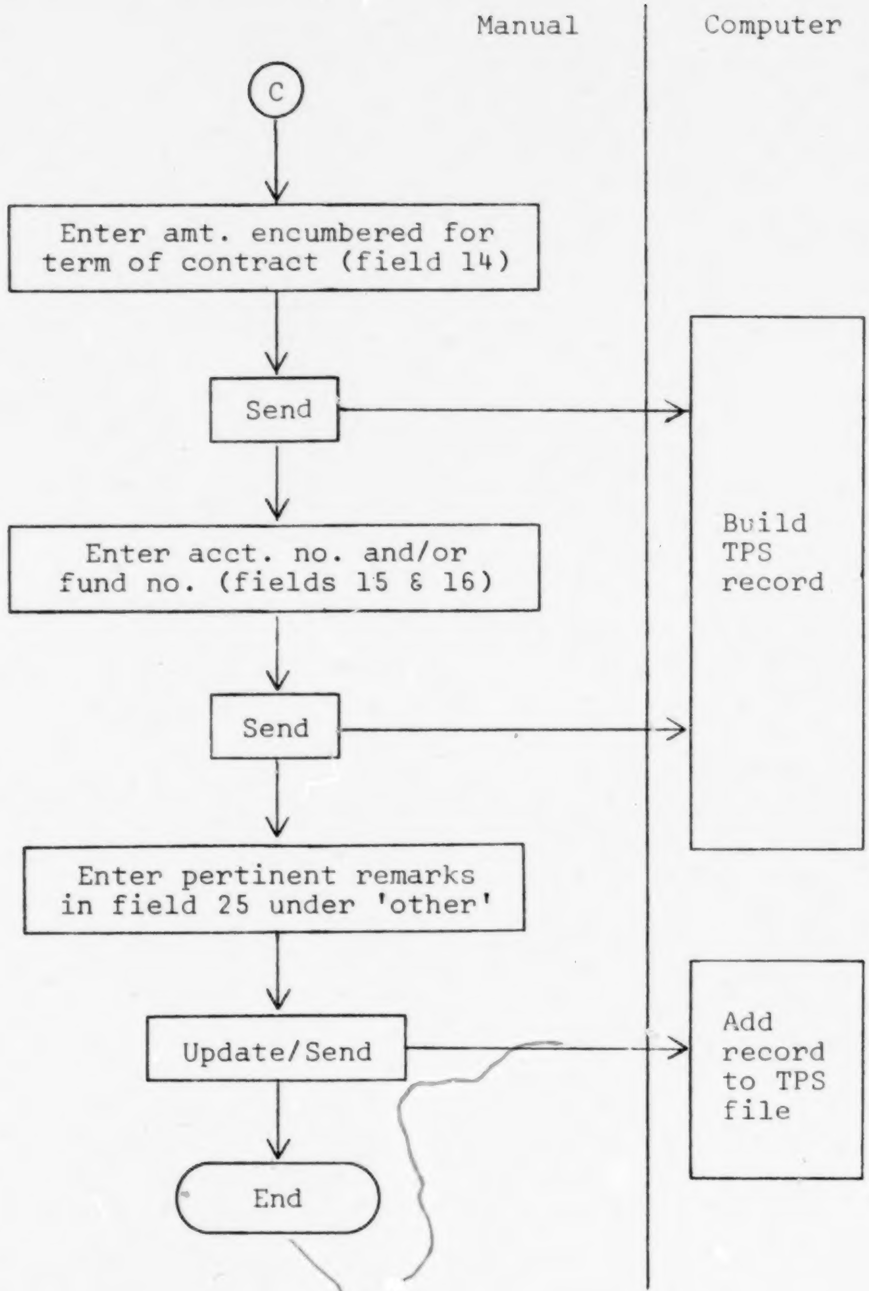

Manual
Computer
C
Enter amt. encumbered for term of contract (field 14)
Send
Enter acct. no. and/or fund no. (fields 15 & 16)
Send
Enter pertinent remarks in field 25 under 'other'
Update/Send
End
Build TPS record
Add record to TPS file

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

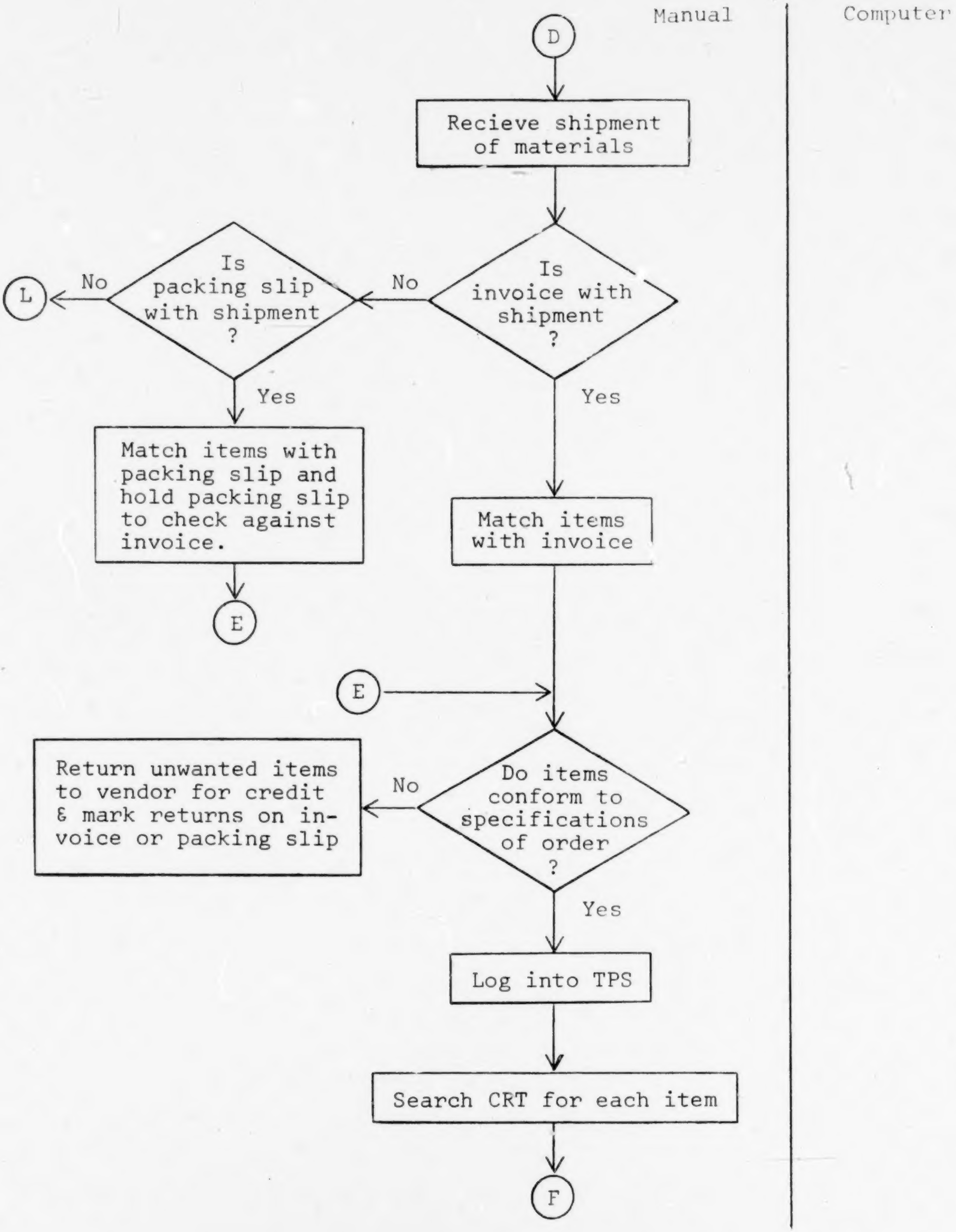

Manual
Computer
D
Recieve shipment of materials
Is invoice with shipment ?
No
Is packing slip with shipment ?
No
L
Yes
Match items with packing slip and hold packing slip to check against invoice.
E
Yes
Match items with invoice
E
Do items conform to specifications of order ?
No
Return unwanted items to vendor for credit & mark returns on in- voice or packing slip
Yes
Log into TPS
Search CRT for each item
F

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

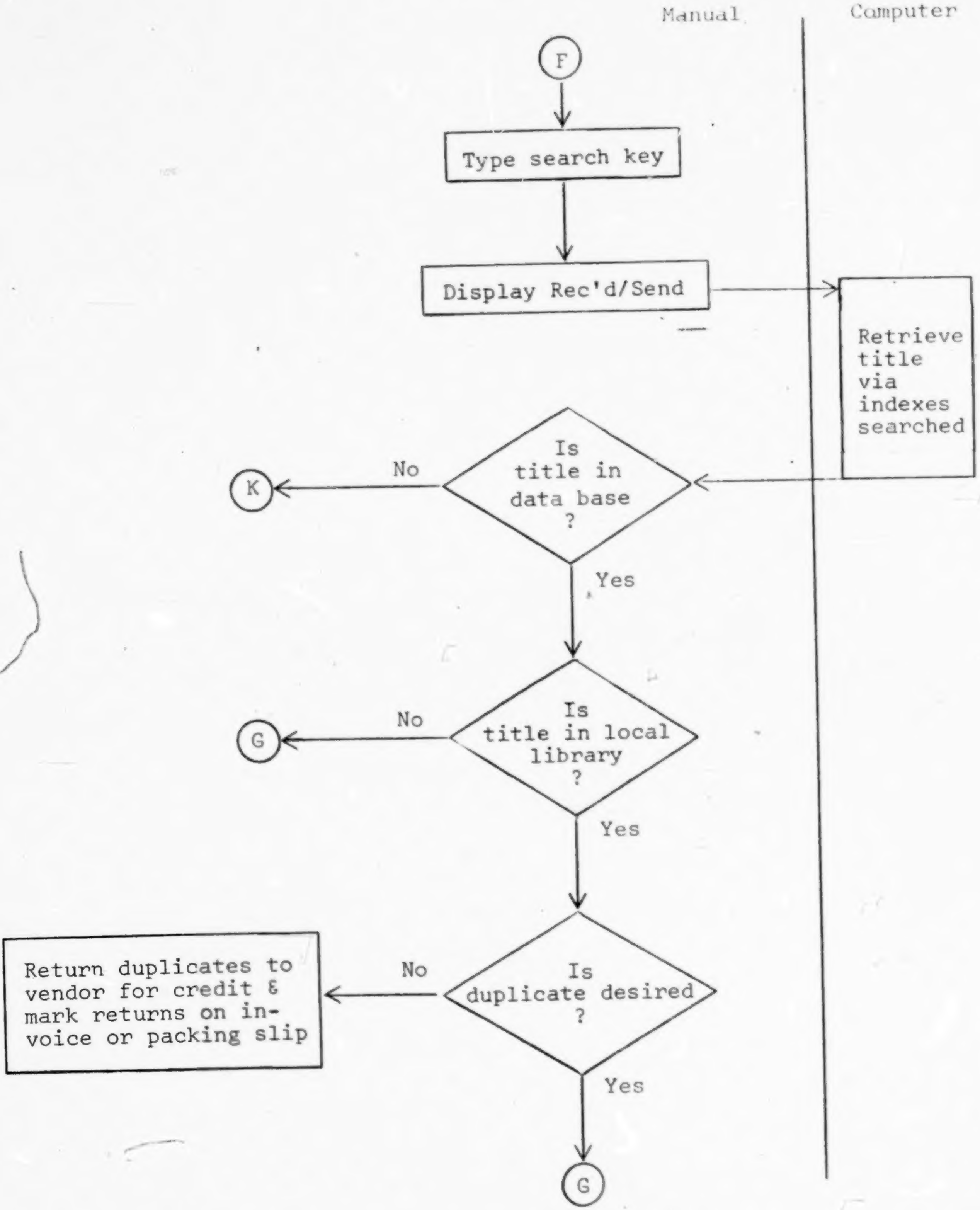

Manual
Computer
F
Type search key
Display Rec'd/Send
Retrieve title via indexes searched
Is title in data base ?
No
K
Yes
Is title in local library ?
No
G
Yes
Is duplicate desired ?
No
Return duplicates to vendor for credit & mark returns on invoice or packing slip
Yes
G

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

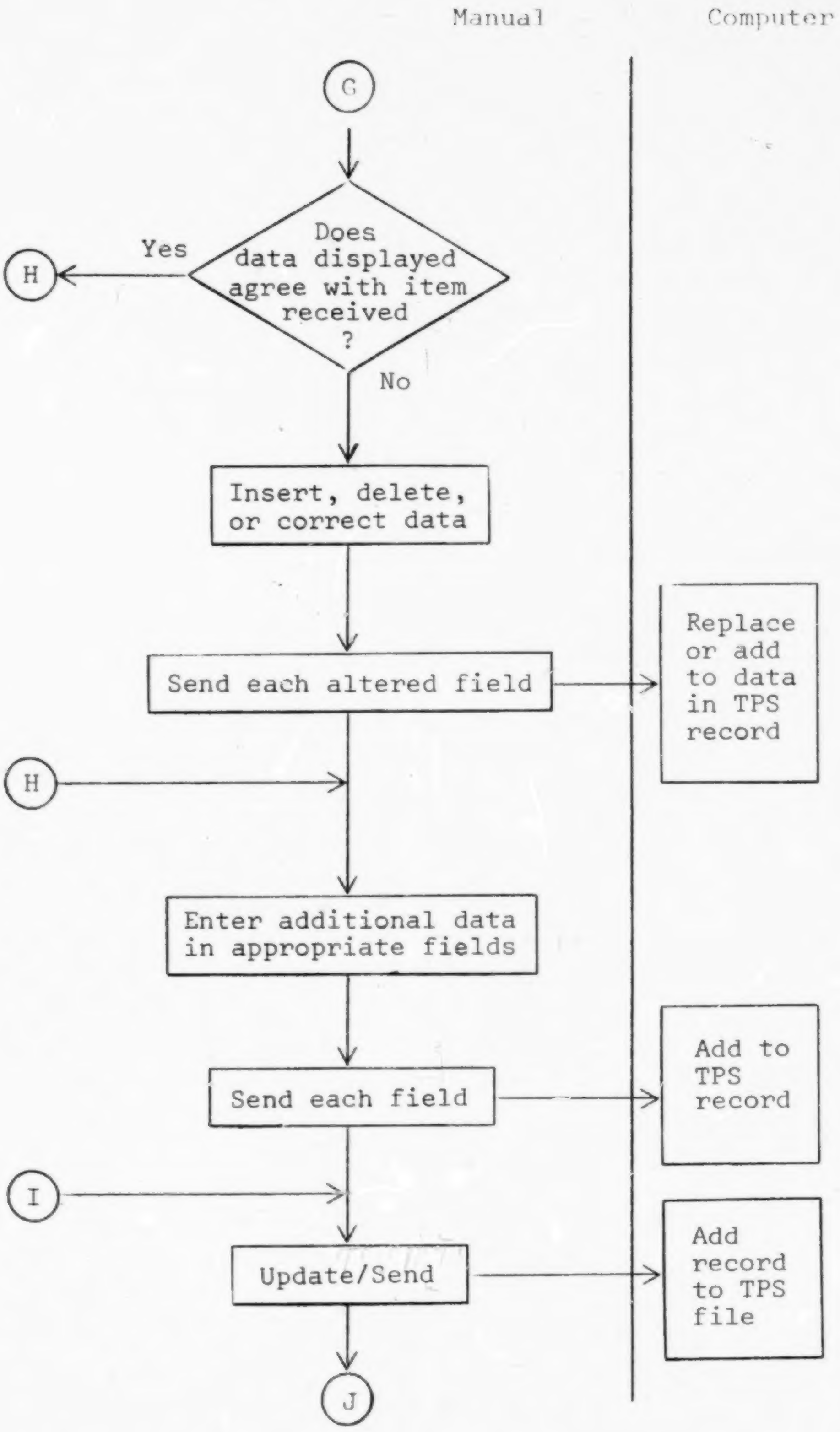

Manual
Computer
G
Does data displayed agree with item received ?
Yes
H
No
Insert, delete, or correct data
Send each altered field
Replace or add to data in TPS record
H
Enter additional data in appropriate fields
Send each field
Add to TPS record
I
Update/Send
Add record to TPS file
J

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

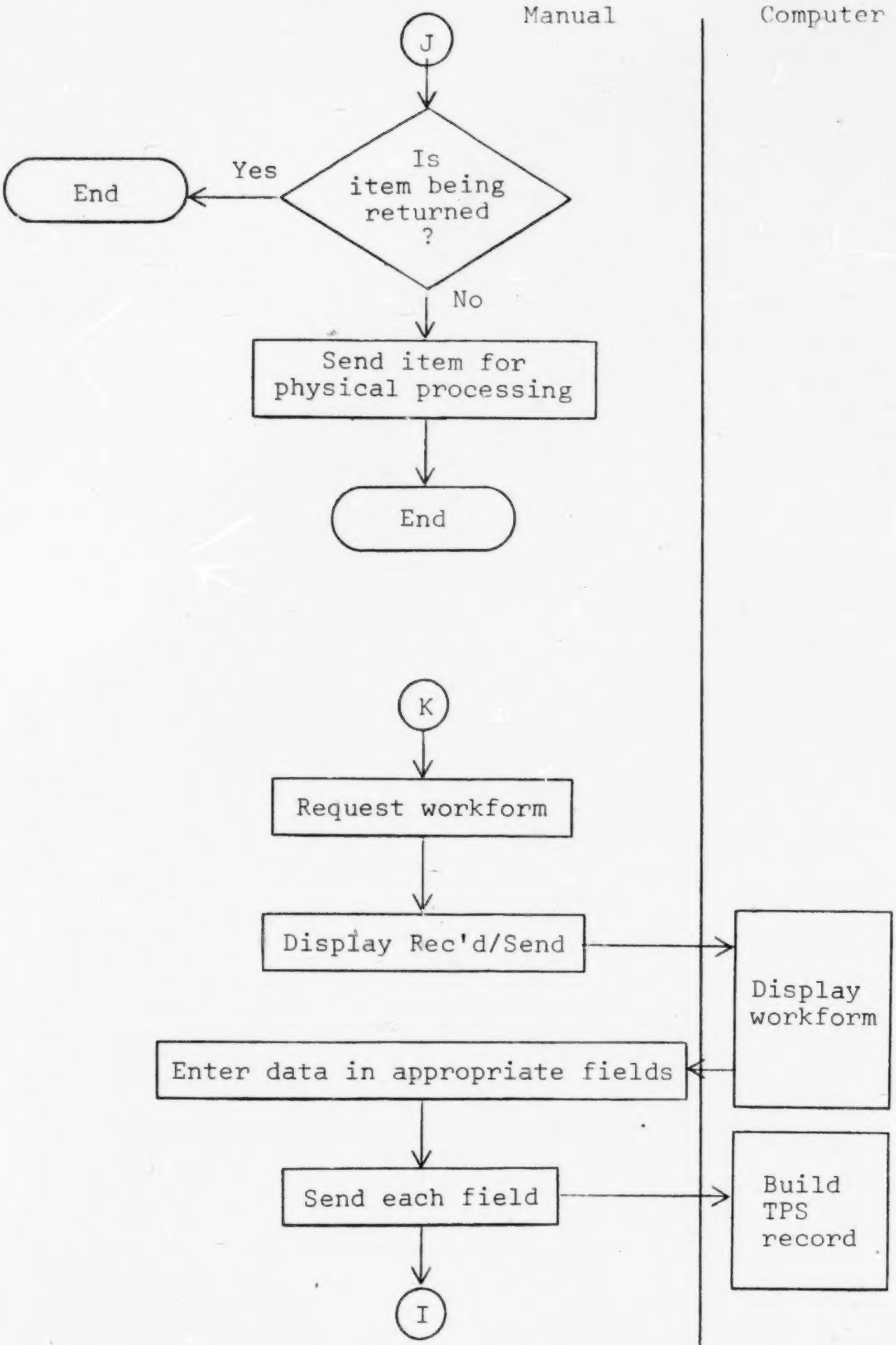

Manual
Computer
J
Is item being returned ?
Yes
End
No
Send item for physical processing
End
K
Request workform
Display Rec'd/Send
Display workform
Enter data in appropriate fields
Send each field
Build TPS record
I

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

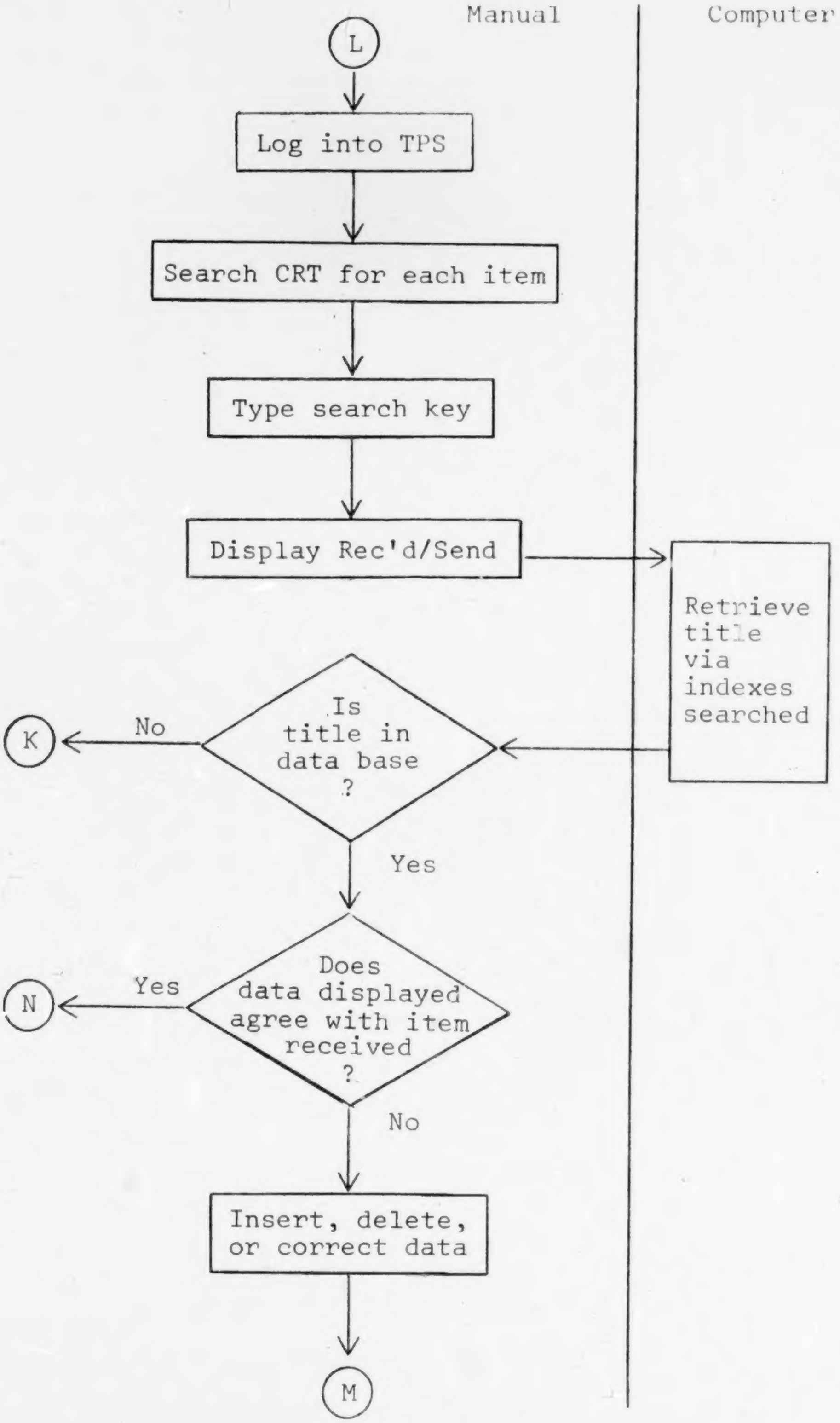

Manual
Computer
L
Log into TPS
Search CRT for each item
Type search key
Display Rec'd/Send
Retrieve title via indexes searched
Is title in data base ?
No
K
Yes
Does data displayed agree with item received ?
Yes
N
No
Insert, delete, or correct data
M

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

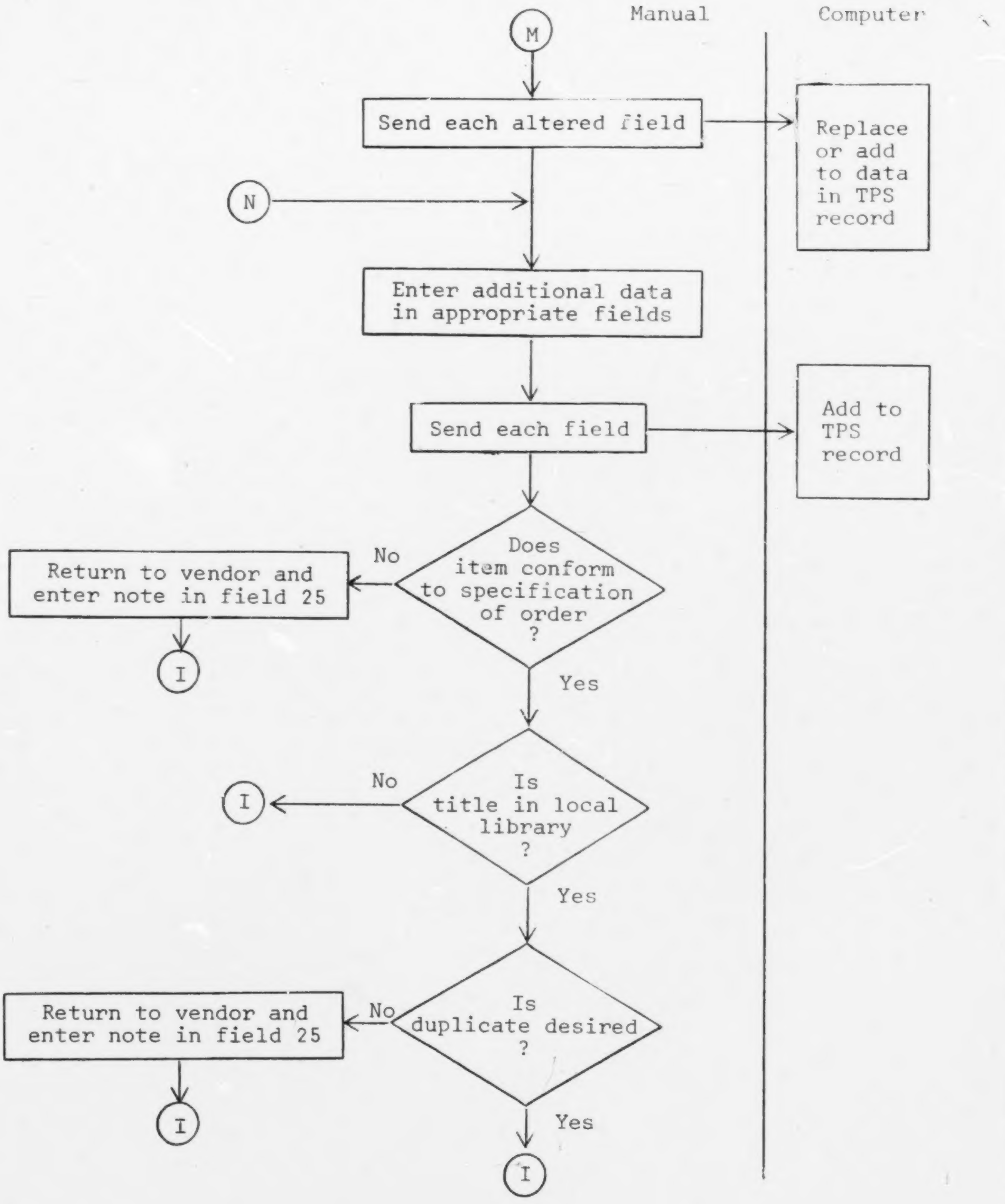

Manual
Computer
M
Send each altered field
Replace or add to data in TPS record
N
Enter additional data in appropriate fields
Send each field
Add to TPS record
Does item conform to specification of order ?
No
Return to vendor and enter note in field 25
I
Yes
Is title in local library ?
No
I
Yes
Is duplicate desired ?
No
Return to vendor and enter note in field 25
I
Yes
I

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

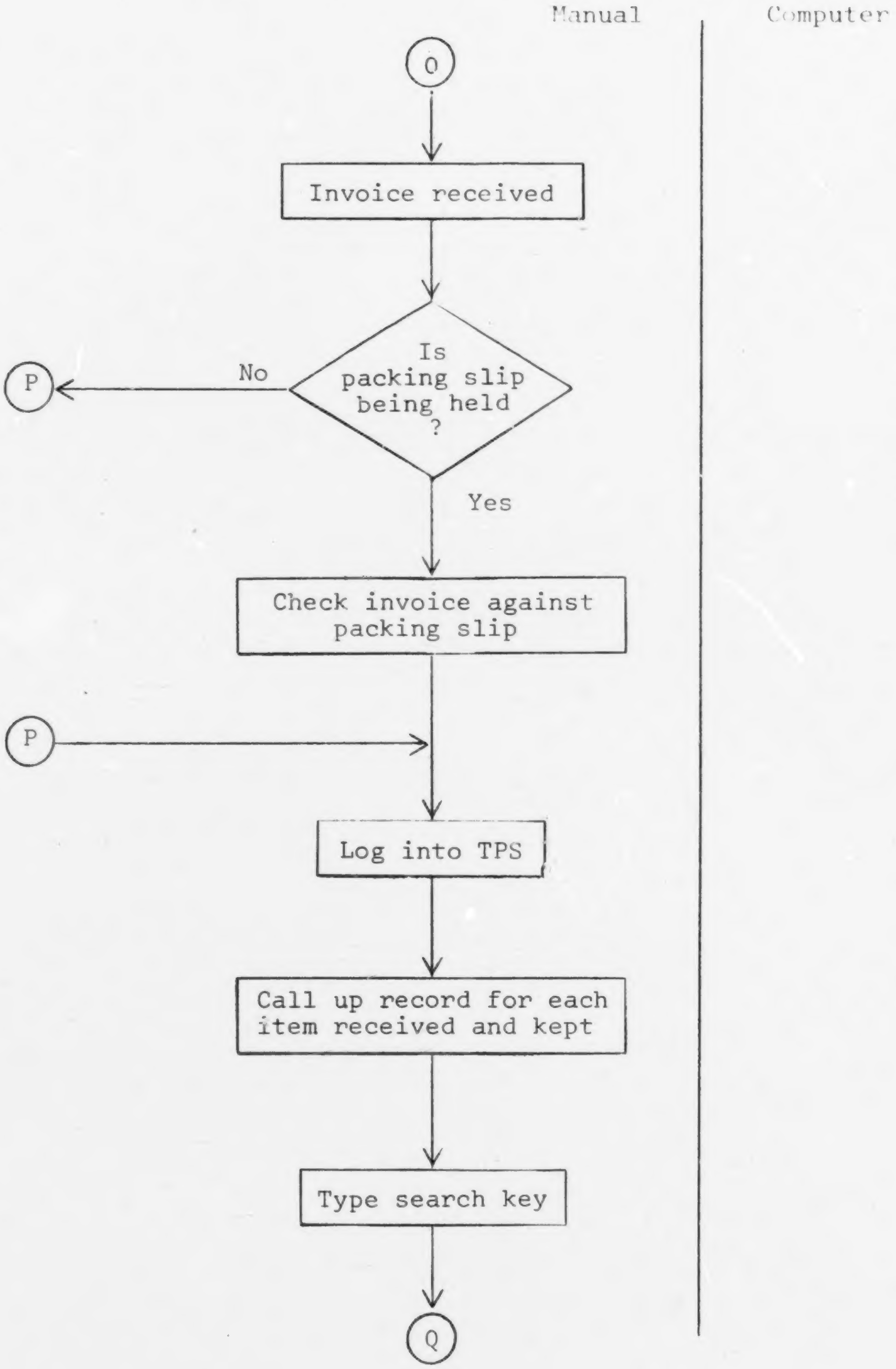

Manual
Computer
O
Invoice received
Is packing slip being held ?
No
P
Yes
Check invoice against packing slip
P
Log into TPS
Call up record for each item received and kept
Type search key
Q

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

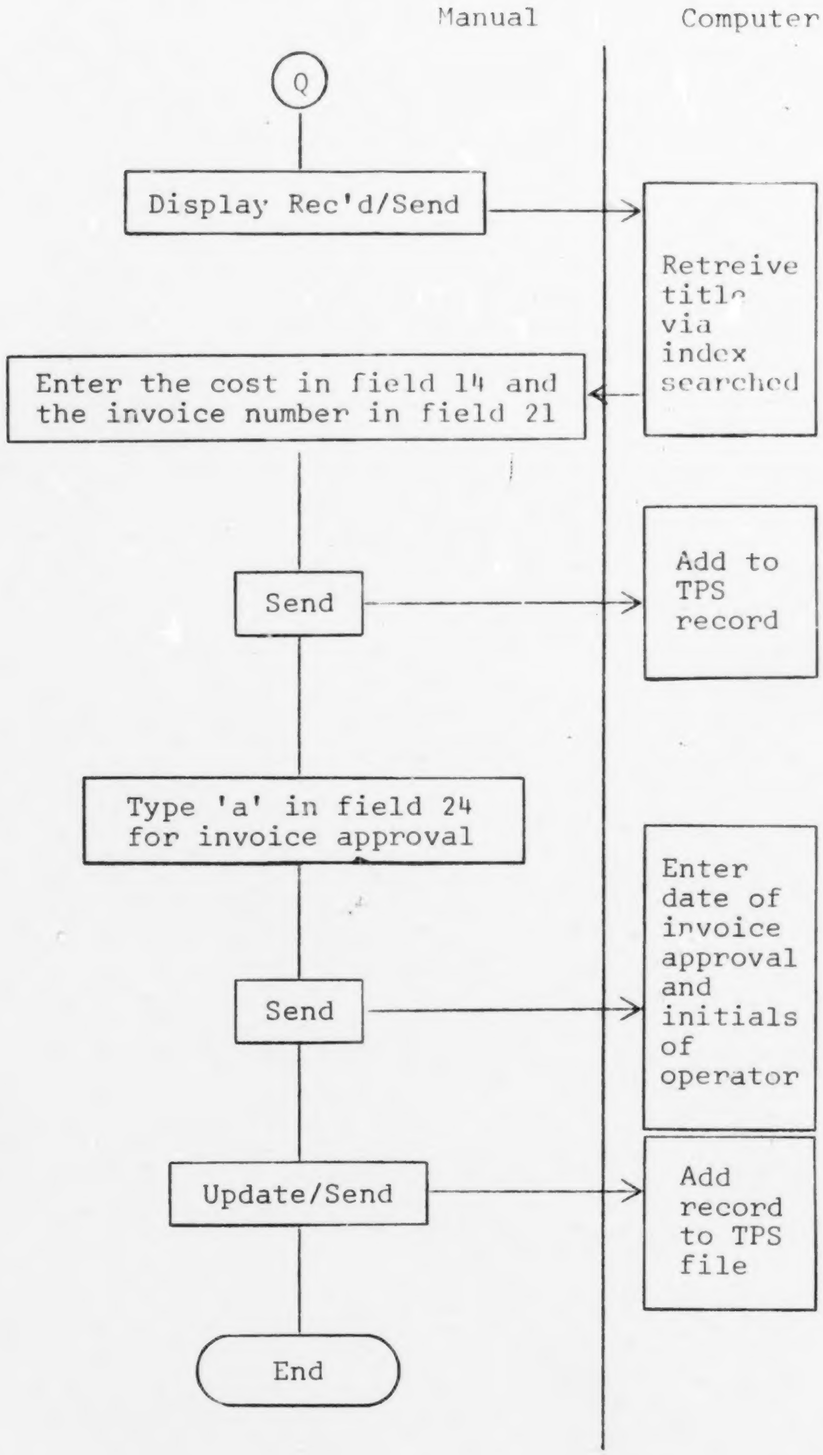

Manual
Computer
Q
Display Rec'd/Send
Retreive title via index searched
Enter the cost in field 14 and the invoice number in field 21
Send
Add to TPS record
Type 'a' in field 24 for invoice approval
Send
Enter date of invoice approval and initials of operator
Update/Send
Add record to TPS file
End

FIGURE 3 Flowchart for Extended Procurement: Standing Orders, On Approval Orders, and Blanket Orders - Cont'd.

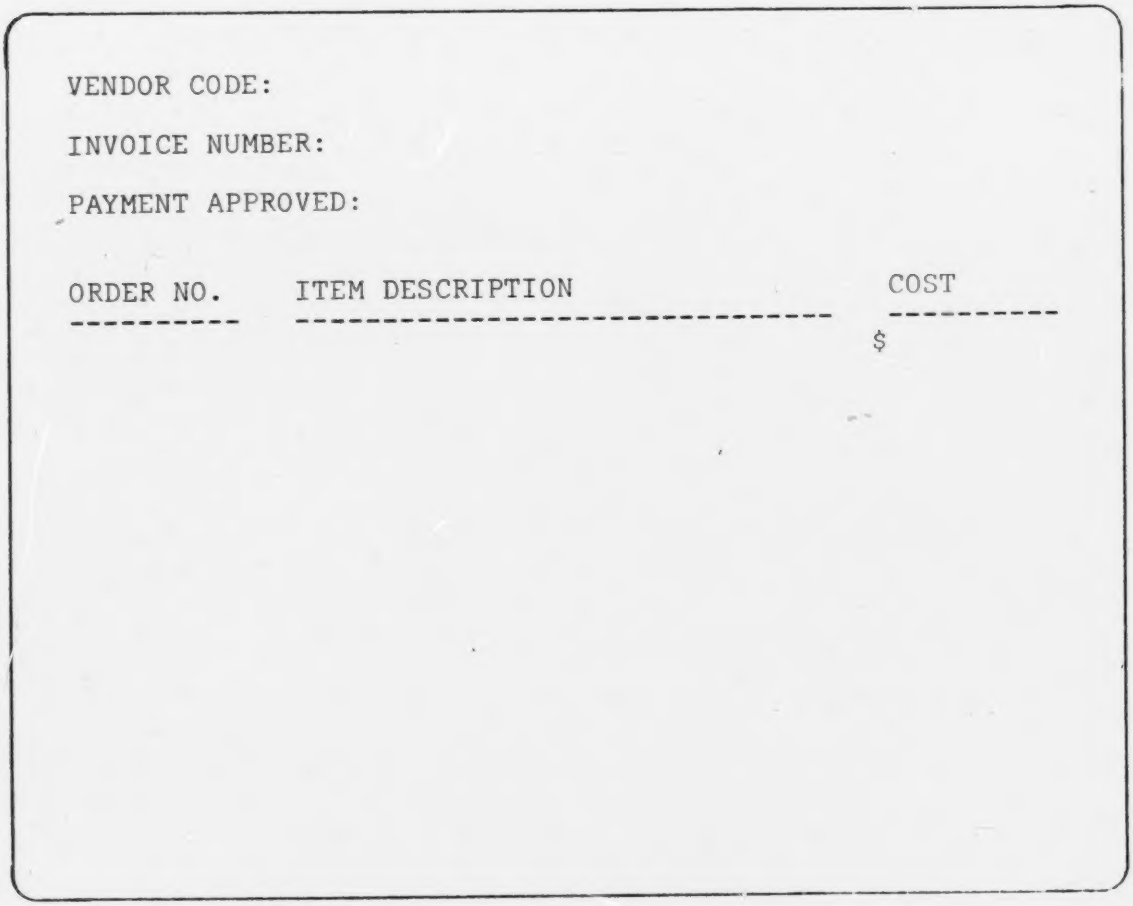
TREATMENT OF INVOICES

When an invoice accompanies a shipment, check the items received against the invoice. If all items on the invoice are present, as receipt of each item is recorded on its TPS record, also enter the cost (in field 14), the invoice number (in field 21), and 'a', denoting invoice approval, (in field 24). Mark the invoice 'Approved' and forward it to the proper office for payment, then send the materials for physical processing.

When an invoice covers items that have not yet been received, enter the cost and the invoice number on the records of the items received, then create a separate invoice record. To create an invoice record, request an invoice workform ('iwf') and enter the vendor code, the invoice number, and the order number, item identification and cost for each item outstanding. Hold the invoice until all of the items have been received or credited. As the remaining items are received and checked-in, the system will tally them against the invoice record, and when the last item is checked-in, will respond with a message 'Invoice complete'. Get the invoice from the 'hold' file, call up the invoice record by vendor code and invoice number, and enter 'a' at the top of the screen. The system will respond by entering the date and the initials of the operator after 'Payment Approved'. Mark the invoice 'Approved' and forward it to the proper office for payment.

The procedure for handling invoices is illustrated in flowchart form in Figure 2, beginning at Ⓙ on page 20.

The screen display for the Invoice Record is shown below in Figure 4.



```
VENDOR CODE:

INVOICE NUMBER:

PAYMENT APPROVED:


ORDER NO.    ITEM DESCRIPTION                 COST
----------   ------------------------------   ----------
                                             $
```

FIGURE 4 Screen Display for Invoice Record

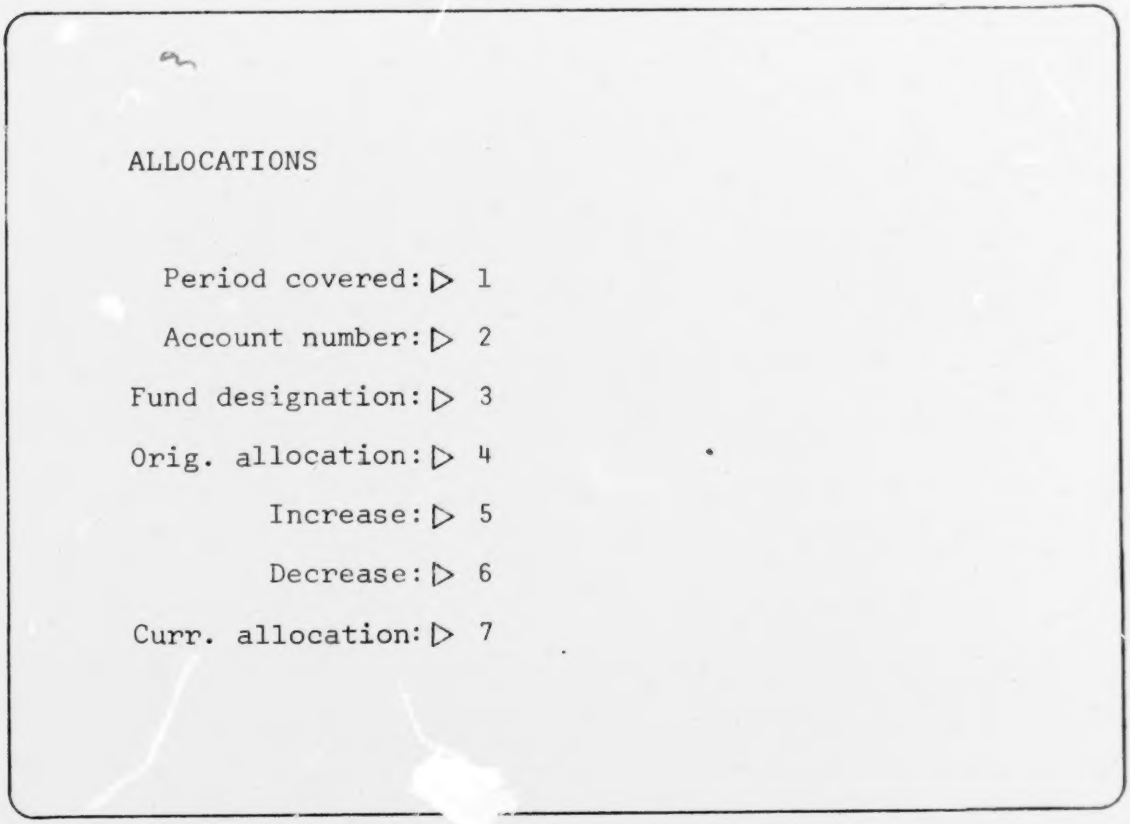
ALLOCATIONS

To enter a new allocation, request an allocation workform ('awf') and type in the period covered by the allocation, the account number, the fund designation, and the amount allocated. SEND each field, then depress UPDATE and SEND.

To increase or decrease an allocation already entered, call up the allocation record by keying in the fund designation plus 'al' (if an account is not subdivided by funds, use the account number plus 'al'), and enter the amount of increase or decrease in the appropriate field of the screen display. SEND the added field, then depress UPDATE and SEND.

The screen display for the Commitment Register Summary will show only the revised, or current, allocation. The original allocation, the amount of increase or decrease, and the current allocation will appear on the print-outs for the Commitment Register and the Commitment Register Summary.

The screen display used to input allocations is shown in Figure 5, on the following page.



```
ALLOCATIONS

  Period covered:▷ 1
  Account number:▷ 2
Fund designation:▷ 3
Orig. allocation:▷ 4
        Increase:▷ 5
        Decrease:▷ 6
Curr. allocation:▷ 7
```

FIGURE 5 Screen Display for Inputing Allocations

DEPOSIT ACCOUNTS

To provide detailed transactions against a deposit account, each such account must be identified to the system by a unique designation. If the deposit is, in fact, part of a larger fund or account, use the designation applied to the entire fund and affix a 'd' to identify the deposit portion.

Enter the amount to be deposited as an allocation for the deposit account, then request a TPS workform and create an order to accompany the deposit by inputing the vendor code in field 1, 'deposit account' in field 2, the amount to be deposited in field 22, and any other pertinent data in the appropriate fields. Override mailing to the vendor, SEND each field, then PRODUCE and SEND. All copies of the order will be sent to the library.

On the Commitment Register Summary, the amount deposited will show as an expenditure. However, the Commitment Register will show the cost of each item purchased through the deposit account under 'Amt.Encumbered', and the unused balance remaining on deposit under 'Free Balance'. Refer to the illustration of the Commitment Register on page 46.

FINANCIAL REPORTS

The following reports will be computer-produced on a regular basis for each library.

1. Commitment Register
2. Commitment Register Summary
3. Report of Funds Within 80% of Commitment

In addition to the printed reports cited above there will be a screen display of the Commitment Register Summary for each account and fund.

A Foreign Conversion Table will automatically convert foreign monies to U.S. dollars. Periodically the table will be updated to bring it into accord with current exchange rates.

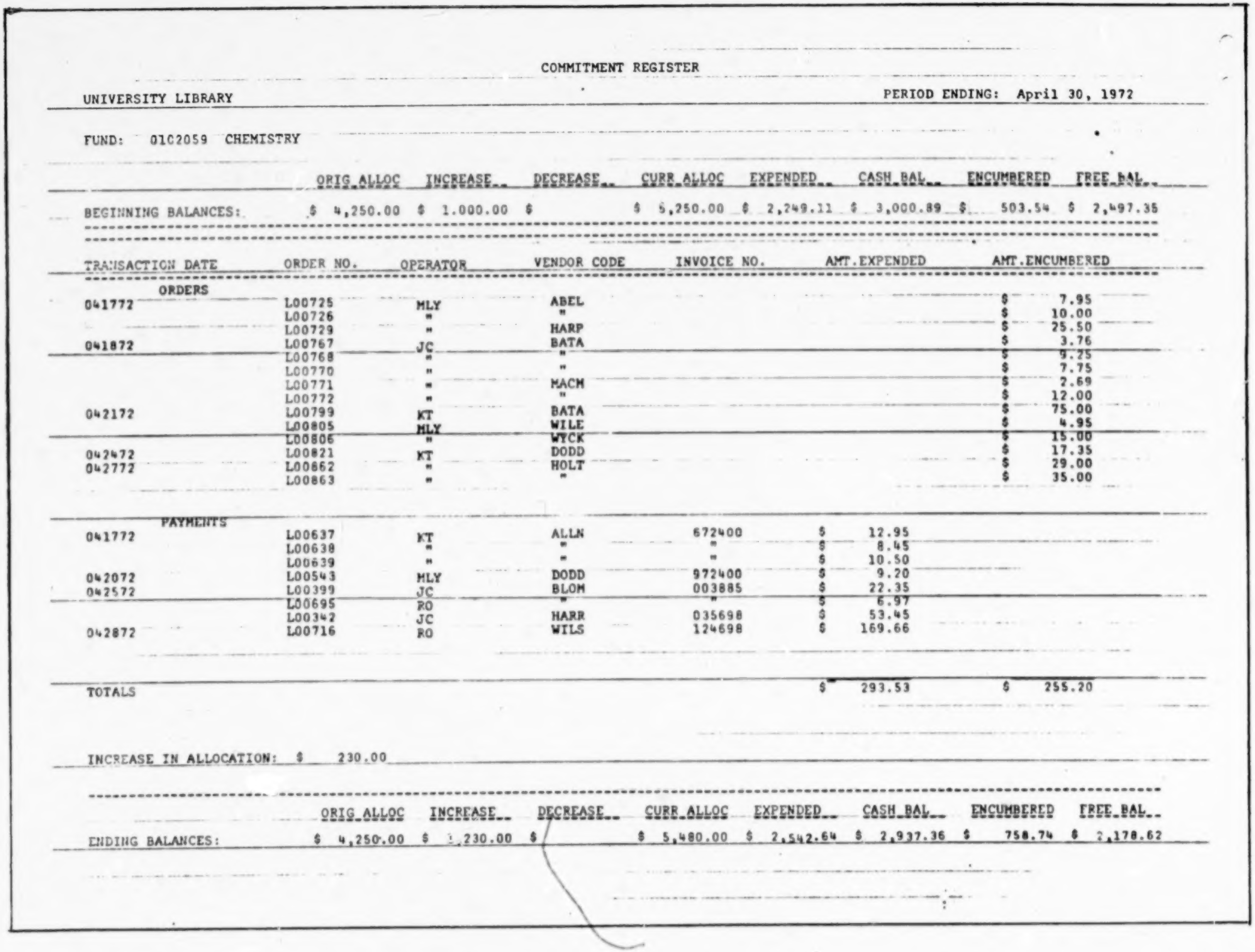
According to its option, a library will receive any or all of the listed reports, that are briefly described below.

The Commitment Register will list detailed transactions tallied against each account and/or fund during the period covered by the report. The register for each fund will be divided into two sections, each arranged by date of transaction. The first part will list the order numbers with the vendor and the amount encumbered. If the order is pre-paid, the amount will be recorded as an expenditure rather than an encumbrance. The second portion of the register will be the equivalent of an invoice transaction journal. Within each date, the transactions against the fund will be arranged by vendor and invoice number and will show the order number(s) and the amount approved for payment. The beginning balances for the fund or account will be printed as the first item on the register, and the ending balances as the last. In addition, any increase and/or decrease in the allocation, made during the period of the report, will be shown just above the ending balances. Figure 6, page 46, illustrates the Commitment Register.

The Commitment Register Summary will report the summarized transactions against an account or fund, from the beginning of the fiscal year through the date shown on the register. For an example of the print-out see Figure 7 on page 47. A Commitment Register Summary, current to the beginning of the previous day, will be available through the CRT. To allow time for error checking by the libraries, each day's transaction figures will remain in a temporary file for 24 hours before being transferred to the master file. During the interim, the cumulative expenditures and encumbrances for the previous and current days will be displayed separately on the Commitment Register Summary screen. To access this data, key in the account or fund designation, then DISPLAY REC'D and SEND. See Figure 8 on page 48.

The Report of Funds Within 80% of Commitment will list each fund that is more than 80% committed, with the amount allocated and the free balance to date. See Figure 9, page 49, for an illustration of the print-out.

In addition to the printed report, the system will display a warning on the screen when an operator keys in a fund designation for an order that will overcommit that fund. If a library so desires, the system will reject any order assigned to a fund that is fully committed.



COMMITMENT REGISTER

UNIVERSITY LIBRARY PERIOD ENDING: April 30, 1972

FUND: 0102059 CHEMISTRY

	ORIG ALLOC	INCREASE	DECREASE	CURR ALLOC	EXPENDED	CASH BAL	ENCUMBERED	FREE BAL
BEGINNING BALANCES:	$ 4,250.00	$ 1.000.00	$	$ 5,250.00	$ 2,249.11	$ 3,000.89	$ 503.54	$ 2,497.35

TRANSACTION DATE	ORDER NO.	OPERATOR	VENDOR CODE	INVOICE NO.	AMT.EXPENDED	AMT.ENCUMBERED
ORDERS						
041772	L00725	MLY	ABEL			$ 7.95
	L00726	"	"			$ 10.00
	L00729	"	HARP			$ 25.50
041872	L00767	JC	BATA			$ 3.76
	L00768	"	"			$ 9.25
	L00770	"	"			$ 7.75
	L00771	"	MACH			$ 2.69
	L00772	"	"			$ 12.00
042172	L00799	KT	BATA			$ 75.00
	L00805	MLY	WILE			$ 4.95
	L00806	"	WYCK			$ 15.00
042472	L00821	KT	DODD			$ 17.35
042772	L00862	"	HOLT			$ 29.00
	L00863	"	"			$ 35.00
PAYMENTS						
041772	L00637	KT	ALLN	672400	$ 12.95	
	L00638	"	"	"	$ 8.45	
	L00639	"	"	"	$ 10.50	
042072	L00543	MLY	DODD	972400	$ 9.20	
042572	L00399	JC	BLOM	003885	$ 22.35	
	L00695	RO	"	"	$ 6.97	
	L00342	JC	HARR	035698	$ 53.45	
042872	L00716	RO	WILS	124698	$ 169.66	
TOTALS					$ 293.53	$ 255.20

INCREASE IN ALLOCATION: $ 230.00

	ORIG ALLOC	INCREASE	DECREASE	CURR ALLOC	EXPENDED	CASH BAL	ENCUMBERED	FREE BAL
ENDING BALANCES:	$ 4,250.00	$ 1,230.00	$	$ 5,480.00	$ 2,542.64	$ 2,937.36	$ 758.74	$ 2,178.62

FIGURE 6 Commitment Register

```
                                    COMMITMENT REGISTER SUMMARY

UNIVERSITY LIBRARY                                                                      PERIOD ENDING:   April 30, 1972

  ACCOUNT NUMBER:   0-100012345-987

  ACCOUNT NAME:     ACADEMIC AND GENERAL LIBRARY

                                         ORIGINAL      INCREASE;     CURRENT       AMOUNT        CASH          AMOUNT        FREE
  FUND NUMBER  FUND NAME                 ALLOCATION    DECREASE      ALLOCATION    EXPENDED      BALANCE       ENCUMBERED    BALANCE
  -----------  ------------------------  ----------    ----------    ----------    ----------    ----------    ----------    ----------

  0101045      AFRO-AMER.STUDIES         $ 1,500.00  $       0.00  $ 1,500.00  $     921.56  $     578.44  $     348.67  $     229.77
  0101045s        SERIALS                $     0.00  $       0.00  $     0.00  $       0.00  $       0.00  $     119.00  $     119.00-
               ------------------------  ----------    ----------    ----------    ----------    ----------    ----------    ----------
                             SUB-TOTAL   $ 1,500.00  $       0.00  $ 1,500.00  $     921.56  $     578.44  $     467.67  $     110.77

  0102059      CHEMISTRY                 $ 4,250.00  $  1,230.00+  $ 5,480.00  $     925.30  $   4,554.70  $   1,261.46  $   3,293.24
  0102059s        SERIALS                $     0.00  $       0.00  $     0.00  $   1,468.72  $   1,468.72- $       0.00      1,468.72-
  0102059m        MICROFORMS             $     0.00  $       0.00  $     0.00  $      94.62  $      94.62- $       0.00         94.62-
               ------------------------  ----------    ----------    ----------    ----------    ----------    ----------    ----------
                             SUB-TOTAL   $ 4,250.00  $  1,230.00+  $ 5,480.00  $   2,488.64  $   2,991.36  $   1,261.46  $   1,729.90

  0107059      EDUCATION                 $ 4,850.00  $     990.00+ $ 5,840.00  $   3,736.28  $   2,103.72  $   1,456.12  $     647.60
  0107059s        SERIALS                $     0.00  $       0.00  $     0.00  $     303.93  $     303.93- $     217.15  $     512.08-
               ------------------------  ----------    ----------    ----------    ----------    ----------    ----------    ----------
                             SUB-TOTAL   $ 4,850.00  $     990.00+ $ 5,840.00  $   4,040.21  $   1,799.79  $   1,673.27  $     126.52

  0111059      MODERN LANGUAGES          $ 2,260.00  $       0.00  $ 2,260.00  $   1,167.24  $   1,092.76  $     862.99  $     229.77
  0111059s        SERIALS                $     0.00  $       0.00  $     0.00  $       0.00  $       0.00  $     119.00  $     119.00-
               ------------------------  ----------    ----------    ----------    ----------    ----------    ----------    ----------
                             SUB-TOTAL   $ 2,260.00  $       0.00  $ 2,260.00  $   1,167.24  $   1,092.76  $     981.99  $     110.77

  0116059      MUSIC                     $ 4,800.00  $  1,000.00+  $ 5,800.00  $   2,988.31  $   2,811.69  $   2,581.06  $     230.63
  0116059s        SERIALS                $     0.00  $       0.00  $     0.00  $     385.00  $     385.00- $       0.00  $     385.00-
  0116059p        PHONODISCS             $     0.00  $       0.00  $     0.00  $     577.49  $     577.49- $       0.00  $     577.49-
               ------------------------  ----------    ----------    ----------    ----------    ----------    ----------    ----------
                             SUB-TOTAL   $ 4,800.00  $  1,000.00+  $ 5,800.00  $   3,950.80  $   1,849.20  $   2,581.06  $     731.86-

  0118059      SOCIOLOGY                 $ 5,840.00  $       0.00  $ 5,840.00  $   2,881.51  $   2,958.49  $   2,339.48  $     619.01
  0118059s        SERIALS                $     0.00  $       0.00  $     0.00  $     468.21  $     468.21- $     171.70  $     639.91-
               ------------------------  ----------    ----------    ----------    ----------    ----------    ----------    ----------
                             SUB-TOTAL   $ 5,840.00  $       0.00  $ 5,840.00  $   3,349.72  $   2,490.28  $   2,511.18  $      20.90-


               ACCOUNT TOTAL             $ 23,500.00 $  3,220.00+  $ 26,720.00 $  15,918.17  $  10,801.83  $   9,476.63  $   1,325.20
```

FIGURE 7 Commitment Register Summary

```
COMMITMENT REGISTER SUMMARY

ACCOUNT:    0-100012345-987

FUND:

SUMMARY OF TRANSACTIONS FOR MAY 1, 1972:

      EXPENDED:    $   2,469.77

      ENCUMBERED:  $     540.50

SUMMARY OF TRANSACTIONS THROUGH APRIL 30, 1972:

 CURRENT     AMOUNT      CASH        AMOUNT      FREE
 ALLOCATION  EXPENDED    BALANCE     ENCUMBERED  BALANCE
 ----------  ----------  ----------  ----------  ----------
$ 26,720.00 $ 15,918.17 $ 10,801.83 $  9,476.63 $  1,325.20
```

```
COMMITMENT REGISTER SUMMARY

ACCOUNT:    0-100012345-987

FUND:       0102059  CHEMISTRY

SUMMARY OF TRANSACTIONS FOR MAY 1, 1972:

      EXPENDED:    $      74.56

      ENCUMBERED:  $      12.98

SUMMARY OF TRANSACTIONS THROUGH APRIL 30, 1972:

 CURRENT     AMOUNT      CASH        AMOUNT      FREE
 ALLOCATION  EXPENDED    BALANCE     ENCUMBERED  BALANCE
 ----------  ----------  ----------  ----------  ----------
$  5,480.00 $  2,488.64 $  2,991.36 $  1,216.46 $  1,729.90
```

FIGURE 8 Screen Displays for Commitment Register Summary

```
              REPORT OF FUNDS WITHIN 80% OF COMMITMENT

UNIVERSITY LIBRARY                   PERIOD ENDING:  APRIL 30, 1972

FUND DESIGNATION              CURRENT ALLOCATION       FREE BALANCE
-------------------------------------------------------------------

0101045  AFRO-AMER. STUDIES          $  1,500.00      $     110.77

0107059  EDUCATION                   $  5,840.00      $     126.52

0111059  MODERN LANGUAGES            $  2,260.00      $     110.77

0116059  MUSIC                       $  5,800.00      $     731.86-

0118059  SOCIOLOGY                   $  5,840.00      $      20.90-
```

FIGURE 9 Report of Funds Within 80% of Commitment

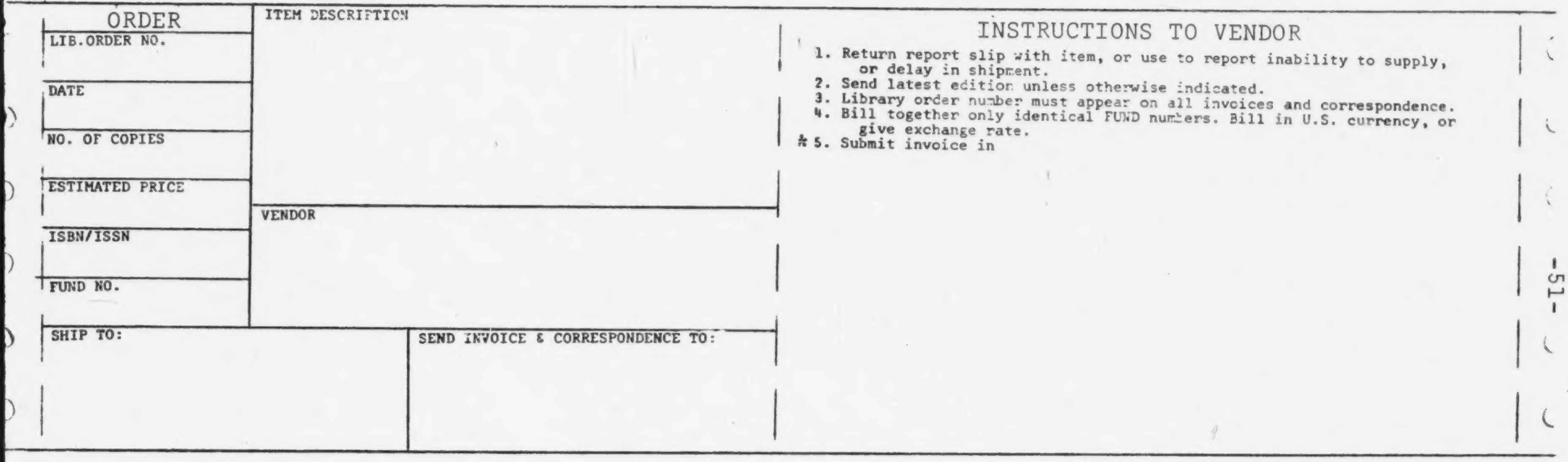
ORDER FORM

A quadruple-copy printed order form, similar to the example in Figure 10, will be produced automatically by the computer. The 3" x 10" form, with the order portion on the left and the instructions to the vendor on the right, will be perforated in the middle so that it can be folded or torn to a 3" x 5" size.

In addition to the pre-printed instructions, shown in the example on the following page, a library may select six instructions from the list below, to be printed on its orders.

1. Exempt from Ohio sales tax. [For private institutions]
   or
   Exempt from Ohio sales tax (Rev. code of Ohio Sec. 5739.02) and from all federal taxes. [For state institutions]
2. Report, do not ship until approved, if item is part of series unless SERIES is indicated.
3. Report, do not ship until approved, if price exceeds estimate by more than $_______.
4. Send hard copy if available.
5. Any item not supplied or reported within ___ days will be considered canceled.
6. Any item supplied after cancellation is subject to return.
7. Ship by cheapest means practical unless otherwise indicated.

If a library uses instructions 3 and/or 5 above, the operator will enter the applicable data following the instruction number in field 26 of the TPS screen. The library may specify data to be used for default if nothing in input.



ORDER

LIB. ORDER NO.

DATE

NO. OF COPIES

ESTIMATED PRICE

ISBN/ISSN

FUND NO.

ITEM DESCRIPTION

VENDOR

SHIP TO:

SEND INVOICE & CORRESPONDENCE TO:

INSTRUCTIONS TO VENDOR

1. Return report slip with item, or use to report inability to supply, or delay in shipment.
2. Send latest edition unless otherwise indicated.
3. Library order number must appear on all invoices and correspondence.
4. Bill together only identical FUND numbers. Bill in U.S. currency, or give exchange rate.
5. Submit invoice in

FIGURE 10 Order Form

* The number of copies of the invoice required by a library will be predetermined and programmed to print automatically.

CLAIM NOTICE

Claim notices will be produced automatically by the computer according to pre-determined claim cycles. OCLC will establish a claim cycle for each vendor, depending in part upon the geographic location of the vendor. Each Member library will decide on the number of claims to be sent for that library. It will also be possible to initiate claims manually, as well as to suppress the automatic claim function. To generate a claim manually, type 'cl' in field 20 of the TPS screen, then PRODUCE and SEND. The computer will enter the date in field 20 and produce a claim notice. To suppress an automatic claim, type 'nc' in field 20, then UPDATE and SEND.

Claims will be sent for items ordered but not received within a specified period of time, and also for overdue invoices for items already received. Illustrations of the claim notice and of the vendor reply form to be printed on the back of the claim notice are shown in Figures 11 and 12, on the following pages.

CLAIM NOTICE

[Library name & address]

Date:

The Code Numbers, preceding the Item Descriptions, refer to the numbered explanations below.

CODE NUMBER	ITEM DESCRIPTION	LIBRARY ORDER NO.	DATE OF ORDER

EXPLANATION CODE:

1. We have not yet received this item.
2. We have not received any issues on this subscription.
3. This issue is the latest we have received on our current subscription.
4. We have not received an invoice for this material.

FIGURE 11 Claim Notice

REPLY FORM

☐ Requested publication has been sent from ____________________

Date shipped ________________

☐ Title changed to ______________________________________

Date shipped ________________

☐ Ceased publication with ___________________. Order canceled.

☐ Not our publication. Order Canceled.

☐ Must be ordered direct from publisher. Order canceled.

☐ Out-of-print, order canceled, will quote if found.

☐ Sold, order canceled, will quote if found.

☐ Out-of-stock. ☐ Order canceled, or

☐ Shipment expected by ____________________

☐ Not yet publ. ☐ Order canceled, or

☐ Shipment expected by ____________________

☐ Series (please specify) ______________________________

☐ Other (please specify) ______________________________

Name _________________________

Date _________________________

FIGURE 12 Reply Form on Verso of Claim Notice

MACHINE READABLE REPORTS

When an invoice is approved for payment via the terminal, the computer will produce machine readable reports for those institutions with automated accounting systems. The machine readable reports will be in the form of 80 column punched cards, or 9 track, 800 BPI, magnetic tape. The reports will be sent directly from OCLC to the appropriate department of the institution.

SUBSEQUENT PRODUCTS

The following products will not be available at the time the Technical Processing System is implemented but will be added as soon as possible following implementation. The first group listed will be issued regularly to those libraries that request them. The second group will be produced upon demand.

Group I:

Requester Notices will be sent regularly to the libraries that desire them, for distribution to the requesters. Each title, for which the requester has asked to be notified, will be listed on the notice, along with its processing status.

Delayed Processing Reports will be addressed to the supervisors of the various departments to which they apply. A maximum time period will be established for a title to remain in a given processing area before the computer produces a report that completion of the processing for that particular item is overdue.

List of Books Ready for Requesters will be issued to the circulation departments periodically. The requesters listed will be those who asked for a particular title after another person has already requested it. The first requester's name will be with the item when it goes to the circulation department. Circulation will use the list of names as a reserve list for subsequent lending of the materials.

Number of Titles in Process will be a line graph on a single sheet of computer paper. Points on the line will represent each week from a given base point. Lines will represent the number of requests in pre-order searching, the number of titles in each of several pre-cataloging check points, the number of titles in cataloging, and the number of titles at the bindery. From this chart it will be possible to tell at a glance whether or not there is an increasing accumulation of materials in any one processing area.

Activity Statistics will also be presented on a line graph, containing the number of requests received in a week, the number of orders issued, the number of items received, the number of titles searched, and the number of titles cataloged. As with the previous graph, it will be possible to note instantly any significant change in trends of activity in various processing areas.

Average Cost Per Title for all books processed in the system within a pre-determined period of time will be calculated by the computer periodically.

Group II:

Donor and Gift Lists will enumerate the gifts received within a given time period, arranged under the name of the donor.

Rate of Work Flow will give the average period of time items remain in each processing location.

List of Titles by Fund will enumerate, under the names of the funds, the titles acquired from each fund within a specified time.

Number of Titles Cataloged by Subject Classification will provide the number of titles cataloged in each class area within a given period.

Subject-Vendor File will be a compilation by subject classification of the vendors who have supplied titles within each subject and the number of titles each vendor supplied.

List of Titles Received by Standing, On Approval, and Blanket Order Purchase. This report will itemize the titles acquired on each of the specified plans.

On Approval Returns will yield a count and listing of titles returned under each on approval order. If there are returns on standing orders and blanket orders these will be included also.

Number of titles acquired by Language and by Country.

Amount Expended by Order Type and Time of Year. This report will give the amount of money spent after a given date as the result of various types of orders (unitary procurement, subscriptions, standing orders, etc.)

Out-of-Print Want Lists will designate the unsatisfied quotation requests in the file.

Request-for-Quotation Follow-up. After a pre-determined time for each vendor, the computer will report to the library that no quotation has been received for specified out-of-print items.

Time Relationship of Invoice and Book Receipt. The computer will calculate the time elapsed between the receipt of an item and its corresponding invoice from a given vendor.

Titles Received by Vendor will be a listing of the number of titles received from each vendor after a given date.

Amount of Funds Expended by Vendor.

Average Time for Individual Vendors to Supply Materials.

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XIV

Ohio College Library Center

Annual Report

1971/1972

BOARD OF TRUSTEES

Term expires 1972
Lewis C. Branscomb, Ohio State University
Joseph P. Denham, Hiram College
Charles O. McDonald, University of Cincinnati

Term expires 1973
John H. Becker, Otterbein College
Hyman W. Kritzer, Kent State University
Betty Wasson, Western College

Term expires 1974
Robert F. Cayton, Marietta College
Philip R. Shriver, Miami University
James V. Jones, Case Western Reserve University

MEMBERS

- Antioch College
- Ashland College
- Athenaeum of Ohio
- Bluffton College
- Bowling Green State University
- Capital University
- Case Western Reserve University
- Cedarville College
- Central State University
- Cleveland State University
- College of Mt. St. Joseph on the Ohio
- College of Steubenville
- College of Wooster
- Defiance College
- Denison University
- Findlay College
- Hebrew Union College
- Heidelberg College
- Hiram College
- Kent State University
- Kenyon College
- Lake Erie College
- Malone College
- Marietta College
- Miami University
- Muskingum College
- Oberlin College
- Ohio Dominican College
- Ohio Northern University
- Ohio State University
- Ohio University
- Ohio Wesleyan University
- Otterbein College
- Pontifical College Josephinum
- Rio Grande College
- Sinclair College
- United Theological Seminary
- University of Akron
- University of Cincinnati
- University of Dayton
- University of Toledo
- Urbana College
- Walsh College
- Western College
- Wilmington College
- Wittenberg College
- Wright State University
- Xavier University
- Youngstown State University

TO: The Board of Trustees

I have the honor to submit my fifth Annual Report.

The outstanding accomplishment of the year was the implementation, operation, and enhancement of the on-line union catalog and shared cataloging system. Participating libraries cataloged a total of 336,307 titles on the system, and during January through June 1972, cataloging was at a rate higher than a half million per year with annual catalog card production at a rate of over 3.4 million.

The first payment of the subsidy from the Ohio Board of Regents became available in early February. The Legislature had acted favorably on the appropriations bill in mid-December, after a half-year delay. The two-fold purpose of the subsidy is to enable OCLC to reach a level of operation in the first two years that will be cost beneficial for Members and to give Members a two-year period to take advantage of normal attrition of personnel to transfer salary payments to OCLC. Needless to say, the membership has repeatedly expressed gratitude to the Board of Regents for assistance in surmounting the financial hurdle generated by full staff complements and full payments for a new system.

Another important development in the history of the Center was the decision by the Members to extend membership to include non-academic libraries in Ohio. Those who brought OCLC into being during the mid 1960's had often expressed inclusion of non-academic libraries as a hope for the future. With the extension of membership, the Center will be able to provide benefits to many more Ohio libraries.

Accomplishments

The Center implemented the on-line union catalog and shared cataloging system with the first institution, Ohio University, on 26 August 1971, and added the remaining 48 members plus the Pittsburgh Regional Library Center in the following month and a half. Subsequently, OCLC added a terminal in Atlanta, Georgia for the Cooperative College Library Center (CCLC) in accordance with the contract with the Office of Education described in the last Annual Report. Similarily, the New England Library Information Network (NELINET) initiated a test of the OCLC system with a terminal located at Dartmouth College in Hanover, New Hampshire for which the Council on Library Resources furnished financial support. Also, the Union Library Catalog of Pennsylvania (ULC) began a test and demonstration of the OCLC system with terminals at Drexel University, Temple University, and the University of Pennsylvania. Centers external to Ohio reimburse the Ohio College Library Center for all expenditures.

Center	Total Titles Cataloged	Titles Cataloged Using Existing Records	Input Cataloging
Ohio College Library Center	295,923	210,390	85,533
Cooperative College Library Center	14,339	13,305	1,034
Pittsburgh Regional Library Center	8,257	8,243	14
New England Library Information Networks	9,101	7,290	1,811
Union Library Catalog of Pennsylvania	8,687	7,794	893
Total	336,307	247,022	89,285

Table 1: Titles cataloged from 26 August 1971 through 30 June 1972.

Table 1 records the number of titles that OCLC Members and other regional centers cataloged from 26 August 1971 through 30 June 1972.

When the on-line system began operation in late August, its principal capabilities were display of union catalog information and on-line cataloging employing MARC II records. However, a terminal operator could extensively edit a MARC II record for catalog card production, and in September the Center's staff added a reformat function whereby the operator can request the computer to reformat on the terminal screen cataloging information in edited form. In mid-October, the Center added the capability of doing input cataloging employing cataloging information not already in the system. When input cataloging began operation, it was necessary for the Center to discontinue addition of MARC II records to the data base until a complex program was available that could detect whether or not there was already in the data base a cataloging record that was a duplicate of a new MARC II record. The center chose to implement input cataloging before it had the ability to add MARC II records to the data base because with input cataloging activated a library could catalog any title, whereas previously a library could only catalog books in the MARC II data base. The Center began again to add MARC II records in mid-January 1972. After that time, the major capabilities of the system were available.

There were still absent, however, a dozen functions. Absence of some functions degraded the system, and absence of others generated nuiscance values of various magnitudes. Members justifiably became restive, and the Center's programming staff continued working in overtime mode during the remainder of the year in an effort to activate remaining functions. At the year's end, the staff had succeeded in implementing half of the desired functions, but unhappily the extended search function, whose absence degrades the system more than the absence of any of the rest of the dozen, was still among the missing; the extended search function will enable a terminal operator to retrieve a desired record when a search key produces too many entries for convenient optical searching on successive screens. The staff has scheduled the extended search function for implementation in September 1972.

Libraries are using the system extensively for other than cataloging. Monitoring of incoming messages has revealed that 5.6 accesses to indexes occur for each title cataloged, whereas it is most unlikely that average uses of indexes could exceed 2.25 per title for cataloging purposes only. Hence, it appears that member libraries are putting more inquiries to the system to obtain union catalog information, information for book selection, bibliographic information, and so on, than for purposes of cataloging. One major objective of the OCLC system is to make library resources throughout Ohio available to students and faculty in member institutions, and this analysis of usage seems to justify the opinion that the system is indeed increasing availability of resources.

Subsequent to activation of input cataloging, reports began to circulate among the membership about the varying quality of cataloging done by Members. In some cases, differences resulted from policy, and in others from inadequate quality. Because of the flexible and extensive editing capabilities of the system, any library can improve or change an existing record for card production. Nevertheless, such "improvements" tend to generate an exasperation quotient all out of proportion to the effort invested in the "improvement". It was clearly most desirable that the membership eliminate these sources of annoyance.

The Advisory Committee on Cataloging convened in a series of meetings from December 1971 to April 1972 to discuss methods for improving quality of input cataloging, while maintaining input costs at the lowest possible level.

The Committee produced a series of recommendations for standards for input cataloging that the membership reviewed and approved in a meeting on 17 May 1972. That membership meeting also appointed a committee to work out the procedures for implementing the standards for input cataloging.

The Council on Library Resources awarded a six-month grant of $53,589 to NELINET to begin on 1 January 1972 to test the transferability of the Ohio College Library Center's computer-based bibliographic system to other groups of libraries. Phase I was a computerized simulation of the OCLC system and Phase II an evaluation and demonstration of the OCLC system at the Baker Library of Dartmouth College.

COMRESS, Inc., the firm that carried out the simulation for OCLC in 1969, performed the new simulation for NELINET. COMRESS simulated for 35, 75 and 249 libraries the system at OCLC employing the IBM 370/155 computer in the Ohio State University's Instruction and Research Computer Center. Because the shared cataloging system was in operation, COMRESS was able to validate the model of the system in comparing computed results with observed results. The simulation included three sets of systems: 1) shared cataloging only; 2) shared cataloging, serials control, and technical processing; and 3) shared cataloging, serials control, technical processing, remote catalog access and circulation control, and retrieval by subject. In summary, COMRESS reported that, "The OCLC system appears to be capable of performing the functions required by the NELINET consortium, be it 35,75 or 249 libraries." The "OCLC system" simulated included additional units of equipment; the present configuration could not possibly handle all five subsystems for 249 libraries. The COMRESS report warned, however, that "simulations for NELINET were configured to represent an equal distribution of messages on each route over the network. When faced with the environment of the real world, of determining which libraries will share a common route, this will be the most significant factor in the performance of the system, as currently conceived."

Phase II of the demonstration involved use of a terminal at Dartmouth, where records were kept of costs before and after on-line cataloging began in February. Dartmouth found full cataloging including card production cost to be $.72 per title if cataloging information was in the OCLC data base; this cost excludes the cost of the OCLC system and includes only costs incurred at the Baker Library. Cataloging cost for titles not in the OCLC data base was $3.02. Moreover, Dartmouth was able to reduce its cataloging staff through attrition subsequent to implementation of the OCLC system by seven full time positions and three full-time equivilant parttime positions.

In reference to paying full OCLC fees, Dartmouth concludes that "with a savings of over $16,000 in rental charges for MT/ST and MCRS, with little loss in efficiency, plus the tremendous staff savings we can readily meet the projected costs and still show a budgetary decrease."

The 1969/70 Annual Report contained an estimate of net savings that the membership as a whole would experience when the system was in full operation. At the time of the estimate, the Center calculated that member libraries would be able to average six titles per hour cataloged on each terminal, and that an average of 1460 titles or more per day would be cataloged. Subsequently, the time of "full operation" was predicted to be at the end of the second operational year. From January through June of 1972, OCLC member libraries used existing cataloging information at 82.6% of the rate in the original estimate; presumably after another year has passed and the on-line catalog has grown, use of existing cataloging information will attain the originally estimated rate. Moreover, OCLC Members have reported cataloging on terminals at rates extending from 5.9 to 20 titles per hour per terminal, so that it is clear that the original estimate of 6 per hour was low. Hence, it appears that if the system is not now cost beneficial, it soon will be.

The system has proved to be reliable, and there have been entire weeks of operation from 7:00 a.m. to 7:00 p.m. when the system has not experienced a single unscheduled cessation of operation known as a "crash". The telephone lines have also proved to be reasonably reliable, once they were operating at an acceptable level of freedom from noise. The Irascope terminals have been the least reliable component of the hardware configuration. Operation of the terminals revealed weaknesses in two modules, and the manufacturer is currently in process of replacing these modules with new circuits that give improved performance. During a three-month period, the terminals operated at 92% uptime; it is generally considered that 95% uptime is the most to be hoped for from a computer. The Sigma 5 far exceeds 95% uptime.

The family of programs that constitute the software component of the system have been gratifyingly free of failure, but of course, have not been entirely free. Whenever the staff inserts a modification to the programs to activate a new function, there immediately follows a predictable sharp rise in "crash" rate. Extermination of the bugs that the new modification generated depresses rate of failure, but not always to the original rate.

This phenomenon will require partial redesign and redevelopment of programs.

Several staff members investigated performance of various search keys for an author index and a call number index, and were preparing papers reporting findings at the end of the year. The author index will enable a terminal operator to call up onto the screen a list of truncated entries of all titles in the catalog record file by a single author. Similarily, the call number index will make it possible to retrieve a specific title having a specific call number in a given institution.

As related in last year's Report, the Center gave a series of clinics at the Center's offices in early July to give one staff member in each library experience in using a terminal. Subsequently, there were terminal tutorials in selected member libraries that staff members from every member library attended. At the request of the membership, the Center instituted scheduled terminal tutorials at the Center's offices for one day every other month. New staff members in OCLC libraries, as well as staff members wishing to refresh their knowledge of terminal operation, attend these tutorials.

As those in other states and in other lands heard of the success of OCLC, they began to visit the Center to see for themselves. Some are curious, some are seeking a solution to a specific problem, and some are interested in replication of an OCLC system. Visitors have come from every major geographic area of the world, except China, and by December they were coming every day. Therefore, it was necessary for the Center to reserve Mondays for visitors, many of whom also wish to see the Ohio State University Libraries remote catalog access and circulation control system that is the first major new development of a computerized user service that is not available in classical librarianship. The Center and the OSU Libraries have coordinated their visitor schedules for the coming year. Visitors will go to OSU on Monday mornings, and the Center will receive visitors at 1:30 p.m. Monday afternoons.

In the first part of the year the Center established an Advisory Committee on Serials and an Advisory Committee on Technical Processing, each of which has members from a score of institutions. Both committees worked long and diligently to define products of the two systems. In addition, the advisory Committee on Serials produced a document entitled "Recommended Standards for the Cataloging of Serials".

By the end of the year, these committees had succeeded in producing a system design on which the programming staff could start to work. The Ohio State University Libraries generously agreed to make available four programmers to work on the technical processing system beginning in September 1972. OSU was about to initiate a similar activity and decided to work with the Center instead by making available programmers that would have been working on the OSU system. The check-in module of the serials control system is scheduled for implementation in December 1972, and the technical processing system is to be operating 1 April 1973. Were it not for the assistance from OSU, implementation for the technical processing system would necessarily be at a much later date.

The reduction of the original research proposal to support research and development from 1 July 1971 through 31 December 1972 from $215,000 to $150,000 made necessary the elimination of work on one of the three systems on which work was proposed in the Grant request. A poll of the membership early in the year showed that Members overwhelmingly wanted a technical processing system and serials control; the circulation system was a very poor third. Therefore, the Center has deferred development of a remote catalog access and circulation control system.

Planning

One of the most important developments during the year occurred at a membership meeting on 17 May 1972, at which the Members voted unanimously to extend membership in the Center to other Ohio libraries, providing that the inclusion of other libraries would not jeopardize the Center's exemption from payment of income taxes. The Board of Trustees also initiated activity to extend membership on the Board so that there will be individual members having special competance in such field as law, economics, and computation. The Trustees are considering this possible change because of the change in character and operation of the Board. In the first year of the Center's existence, the Board met thrice; this year it met ten times. In other words, the Board has changed from being a constitutional type of Board to having become a consultive Board.

During the year, the Director worked with several other regional library centers on agreements designed, with one exception, to facilitate implementation of an OCLC-like system in the other regions. The exception is the Pittsburgh Regional Library Center that is too small to support an OCLC-like system; it is anticipated that PRLC will operate as a satellite node to OCLC.

Replication of the OCLC system in other regions will reduce development expenditures by OCLC members in the long run. Development activities at other centers will be coordinated so that programs produced elsewhere can be embedded into any OCLC system. Futhermore, it is intended that the centers will be linked together telephonically so that OCLC members will further benefit from a greatly enlarged pool of bibliographic records and an equally enlarged store of union catalog information.

The Center signed a new agreement with the Pittsburgh Regional Library Center, and it is expected that more PRLC members will participate on-line with OCLC during the coming year. Agreements with the Five Associated University Libraries (FAUL) and the New England Library Information Network (NELINET) were nearly ready for signatures at the end of the year. Each of these agreements calls for the other regional center to participate only in the on-line shared cataloging system of OCLC for a maximum of three years, at or before which time, each Center will have its own computer system. The other regional centers will reimburse OCLC for all expenses, and for their share of the use of the central installation. They will also reimburse OCLC for necessary additional communications expense, but will supply their own terminals. If FAUL and NELINET do participate on-line with OCLC, the initial effect of their participation will be to reduce OCLC Membership Fees, and to increase availability of cataloging records.

The Union Library Catalog of Pennsylvania and OCLC worked out an agreement that was satisfactory for ULC, but proved unsatisfactory for OCLC. The two centers will continue to work on the definition of their relationship.

At the Annual Meeting on 12 November 1971, the membership expressed an interest in extension of borrowing privileges among OCLC libraries to other than faculty members. The Chairman appointed a committee to make a recommendation on extension of borrowing privileges that gave a preliminary report at the membership meeting on 17 May 1972. The committee is working in the direction of recommending extension of borrowing privledges to graduate students and undergraduates. In addition, it is contemplating recommending establishment of an interlibrary loan clearance center.

Organization

At the Annual Meeting on 12 November 1971, the membership reelected Robert F. Cayton, and Philip R. Shriver, and elected James V. Jones to the Board of Trustees. Subsequently, the Trustees elected Hyman W. Kritzer as Chairman, Lewis C. Branscomb, Vice-Chairman, Robert F. Cayton, Secretary, and John H. Becker, Treasurer.

The United Theological School in Dayton joined the Center at the beginning of the year, and at the end of the year, the Medical College of Ohio informed the Center it intended to become a member in 1972/73. John Carroll University and Mount Union College did not renew their memberships. Capital University rejoined the Center at the beginning of the year, but toward the end of the year informed the Center that it would again not renew its membership. Throughout the year there were 49 active members, one fewer than last year.

The Director reorganized the Center's staff and appointed Philip L. Long as Assistant Director. Mr. Long is now responsible for the Information System Research Section, Information System Engineering Section, Maintenance Section, and Operations Section. The Bibliographic Systems Section and administrative personnel report to the Director.

Finances

The Center's financial statements for the year ending 30 June 1972 and Haskins & Sell's report on their examination of these statements are appended to this Annual Report.

The grant awards from the Council on Library Resources, and the U. S. Office of Education, that last year's Report announced, supported research and development activity through the year. The Center initiated action to seek renewal of these grants following 31 December 1972.

The State Legislature took final and favorable action in mid-December 1971 on the subsidy so hopefully described in the 1970/71 Report, but it was not possible for the Board of Regents to make the first payment of the subsidy until the first of February 1972. Since Membership Fees were only to support one-third of the year's operation, the Center would have run out of funds at the end of October had not some of its creditors been willing to accept delayed payments. Also, a loan of $77,000 from the Center's banking institution bridged much of the gap between November first and February first.

The calculation of Membership Fees for 1971/72 employed essentially the same type of data and formula that the membership approved on 17 April 1968. The data was the number of titles each library cataloged during 1969/70, the most recent year for which data existed in the Spring of 1971 when the Center calculated the fees. At the annual meeting on 12 November 1972, the membership approved adjustment of the 1971/72 fees after the end of the year with the adjustment to be based on the actual use throughout the year of records existing in the system for cataloging. Experience of use of the system will be the basis for calculating Membership Fees for 1972/73.

It cannot be pointed out too emphatically or too clearly that the formula for calculating Membership Fees assigns all costs for operation of the present system to cataloging, whereas as reported in an earlier section, Members put more inquiries to the system for other purposes than they do for cataloging.

The budget approved for 1972/73 totals $842,322 excluding grant funds supporting research and development. Revenues will be : Membership Fees $507,989; State Grant Income $193,333; Catalog Card Income $94,000; and other Income $47,000.

Publications

The Center's staff prepared and published the following reports and articles:

Standards for Input Cataloging (2 June 1972)

A Brief Description of the Serials Control System: A Preliminary Report (September 1971)

A Preliminary Description of the OCLC Serials Control System (October 1971)

Manual For Checking-In, Binding, And Claiming of Serials on a CRT Terminal - Draft of Preliminary Procedures (December 1971)

Suggested Minimum Requirements For Cataloging Serials (January 1972)

Recommended Standards For The Cataloging Of Serials (May 1972)

OCLC Technical Processing System - A Preliminary Outline (February 1972)

The Technical Processing System - The Ohio College Library Center (May 1972)

Long, Philip L.; Rastogi, K.B.L.; Rush, J.E.; and Wyckoff, J.A.: "Large On-Line Files of Bibliographic Data: An Efficient Design and a Mathematical Prediction of Retrieval Behavior", IFIP Congress 71; Ljubljana - August 1971. Amsterdam, North Holland Publishing Co., 1971. Booklet TA-3, 145-149.

Long, Philip L.; "OCLC Systems: Technical Aspects", Proceedings of the EDUCOM 1971 Fall Council Meeting and Conference pp. 98-100

Long, Philip L.; Kilgour, Frederick G: "Name-Title Retrieval From a MARC File", Journal of Library Automation 4 (Dec. 1971), 211-212

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HASKINS & SELLS
CERTIFIED PUBLIC ACCOUNTANTS

250 EAST BROAD STREET
COLUMBUS 43215

ACCOUNTANTS' OPINION

To the Board of Trustees of
The Ohio College Library Center:

We have examined the balance sheet of The Ohio College Library Center as of June 30, 1972 and the related statements of income and members' equity and changes in financial position, and the supplemental schedule of cost reimbursement grants for the year then ended. Our examination was made in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

In our opinion, the accompanying financial statements and supplemental schedule present fairly the financial position of the Center at June 30, 1972 and the results of its operations and the changes in its financial position for the year then ended, in conformity with generally accepted accounting principles applied on a basis consistent with that of the preceding year.

Haskins & Sells

September 14, 1972

THE OHIO COLLEGE LIBRARY CENTER

BALANCE SHEET, JUNE 30, 1972 AND 1971

ASSETS

	JUNE 30 1972	JUNE 30 1971
CURRENT ASSETS:		
Cash (including $200,689 in 5% unrestricted savings accounts at June 30, 1972)	$222,754	$11,087
Accounts receivable:		
Members' dues	23,148	1,815
Catalog cards	19,434	7,439
Terminal charges	18,685	
Employees		25
Unreimbursed grant costs (Note 2)	24,303	6,837
Prepaid expenses	2,087	1,102
Total current assets	310,411	28,305
PROPERTY - At cost:		
Office furniture and fixtures	10,523	8,093
Office improvements	2,204	2,204
Total	12,727	10,297
Less accumulated depreciation	3,403	2,350
Property - net	9,324	7,947
TOTAL	$319,735	$36,252

LIABILITIES

	JUNE 30 1972	JUNE 30 1971
CURRENT LIABILITIES:		
Accounts payable	$ 7,468	$ 7,594
Accrued and withheld payroll taxes	4,800	7,275
Members' dues received in advance	42,748	9,039
Grant funds received in advance of related costs (Note 2)		648
Deferred income - State of Ohio (Note 3)	193,333	
Total current liabilities	248,349	24,556
MEMBERS' EQUITY (Notes 1 and 4)	71,386	11,696
TOTAL	$319,735	$36,252

See Notes to Financial Statements

THE OHIO COLLEGE LIBRARY CENTER

STATEMENT OF INCOME AND MEMBERS' EQUITY FOR THE YEARS ENDED JUNE 30, 1972 AND 1971

	YEAR ENDED JUNE 30	
	1972	1971
INCOME:		
Members' dues	$234,176	$ 86,417
Catalog cards	84,585	30,670
State of Ohio (Note 3)	386,667	
Terminal charges	28,347	
Interest	689	633
Total	734,464	117,720
EXPENSES:		
Salaries and wages:		
Director	28,600	28,600
Systems analysts	50.774	18,205
Clerical	10,300	12,637
Total	89,674	59,442
Rentals (Note 3):		
Data processing equipment	193,881	
Peripheral terminals	155,856	
Long-distance communications	138,176	
Other	7,333	11,475
Catalog cards and other data processing supplies	40,751	11,948
Professional services	9,543	4,795
Employee benefits	8,120	4,183
Outside secretarial services	6,038	
Telephone	5,634	3,297
Printing and duplicating	4,521	4,960
Payroll taxes	4,339	2,316
Office supplies and expense	3,287	3,007
Travel	2,320	2,584
Depreciation (straight-line method)	1,053	850
Dues and subscriptions	938	1,246
Other	3,310	963
Total	674,774	111,066
NET INCOME (Note 1)	59,690	6,654
MEMBERS' EQUITY AT BEGINNING OF YEAR	11,696	5,042
MEMBERS' EQUITY AT END OF YEAR (Notes 1 and 4)	$ 71,386	$ 11,696

THE OHIO COLLEGE LIBRARY CENTER

STATEMENT OF CHANGES IN FINANCIAL POSITION
FOR THE YEARS ENDED JUNE 30, 1972 AND 1971

	YEAR ENDED JUNE 30	
	1972	1971
SOURCES:		
Operations:		
Net income	$ 59,690	$ 6,654
Depreciation	1,053	850
Total from operations	60,743	7,504
Increase in deferred income - State of Ohio	193,333	
Increase (decrease) in members' dues received in advance	33,710	(10,784)
Total sources	287,786	(3,280)
USES:		
Increase in accounts receivable	51,987	9,083
Increase (decrease) in unreimbursed grant costs	17,467	(423)
Decrease (increase) in accrued and withheld payroll taxes	2,475	(5,300)
Property additions	2,430	2,601
Increase (decrease) in prepaid expenses	985	(3,356)
Decrease in grant costs received in advance	648	7,735
Decrease in accounts payable	127	4,855
Total uses	76,119	15,195
INCREASE (DECREASE) IN CASH	211,667	(18,475)
CASH AT BEGINNING OF YEAR	11,087	29,562
CASH AT END OF YEAR	$222,754	$ 11,087

See Notes to Financial Statements

THE OHIO COLLEGE LIBRARY CENTER

NOTES TO FINANCIAL STATEMENTS
JUNE 30, 1972

1. ORGANIZATION AND TAX STATUS

The Center is a non-profit corporation organized to establish and operate a computerized, regional network to serve academic institutions. The Center members, presently academic institutions in Ohio, are charged annual dues in advance based generally on their book processing volume. No Center earnings will be distributed to the members. In the event of dissolution, the Board of Trustees shall adopt such plan for distribution of remaining assets as shall be consistent with the purposes of the Corporation.

The Center has obtained tax exempt status under the appropriate section of the Internal Revenue Code and accordingly no provision for Federal income tax has been made.

2. COST REIMBURSEMENT GRANTS

The Center has received various cost reimbursement grants relative to developing a computerized regional shared-cataloging system. These costs are not charged against Center income, since all covered costs are reimbursed by the grantors.

3. DEFERRED INCOME - STATE OF OHIO

During the fiscal year ending June 30, 1972, the Center received $580,000 from the State of Ohio representing an appropriation to subsidize the activities of the Center until such time as the member institutions make anticipated budgetary adjustments sufficient to pay increased member dues. As designated by the Center in their original budget request to the State, two-thirds ($386,667) of the total appropriation was recognized as income in the year ended June 30, 1972 with the remainder ($193,333) deferred to 1973 at which time the Center's Board of Trustees anticipates the Center will be self-supporting.

4. LEASE OBLIGATIONS

As of June 30, 1972, the Center was obligated under an agreement dated February 19, 1970 (revised June 1971) to lease certain electronic data processing equipment for six years beginning July 1971 at an annual rental of approximately $195,600. The lease includes an option to purchase any or all of the equipment during the lease period for a maximum purchase price of the greater of $865,000 reduced by 65% of rentals paid to the exercise date, or $259,500.

In July 1971 the Center also signed a three-year lease agreement for certain peripheral terminal equipment with annual rentals, including maintenance costs, of approximately $157,000. This lease includes an option to purchase any or all of the equipment during the lease period for a maximum purchase price of $453,750 reduced by 80% of rentals paid to the exercise date.

The Center leases long-line telephone service and certain peripheral communications equipment from American Telephone and Telegraph Company on a month-to-month basis. For these services the Center expects to incur annual costs of approximately $144,000 during the fiscal year ending June 30, 1973.

THE OHIO COLLEGE LIBRARY CENTER

COST REIMBURSEMENT GRANTS (NOTE 2)
FOR THE YEAR ENDED JUNE 30, 1972

	OFFICE OF EDUCATION	COUNCIL ON LIBRARY RESOURCES, INC.	TOTAL
UNREIMBURSED GRANT COSTS AT JUNE 30, 1971	$ 6,837		$ 6,837
GRANT FUNDS RECEIVED IN ADVANCE AT JUNE 30, 1971		$ 648	648
COSTS INCURRED:			
Salaries	81,255	10,764	92,019
Payroll taxes	2,892		2,892
Computer rental	7,522	1,786	9,308
Travel	2,764	612	3,376
Consultants	100		100
Printing	6,300	6,135	12,435
Data set installation		3,703	3,703
Other	1,359	871	2,230
Total	102,192	23,871	126,063
TOTAL - NET REIMBURSABLE COSTS	109,029	23,223	132,252
GRANT FUNDS RECEIVED DURING THE YEAR	87,949	20,000	107,949
UNREIMBURSED GRANT COSTS AT JUNE 30, 1972	$ 21,080	$ 3,223	$ 24,303